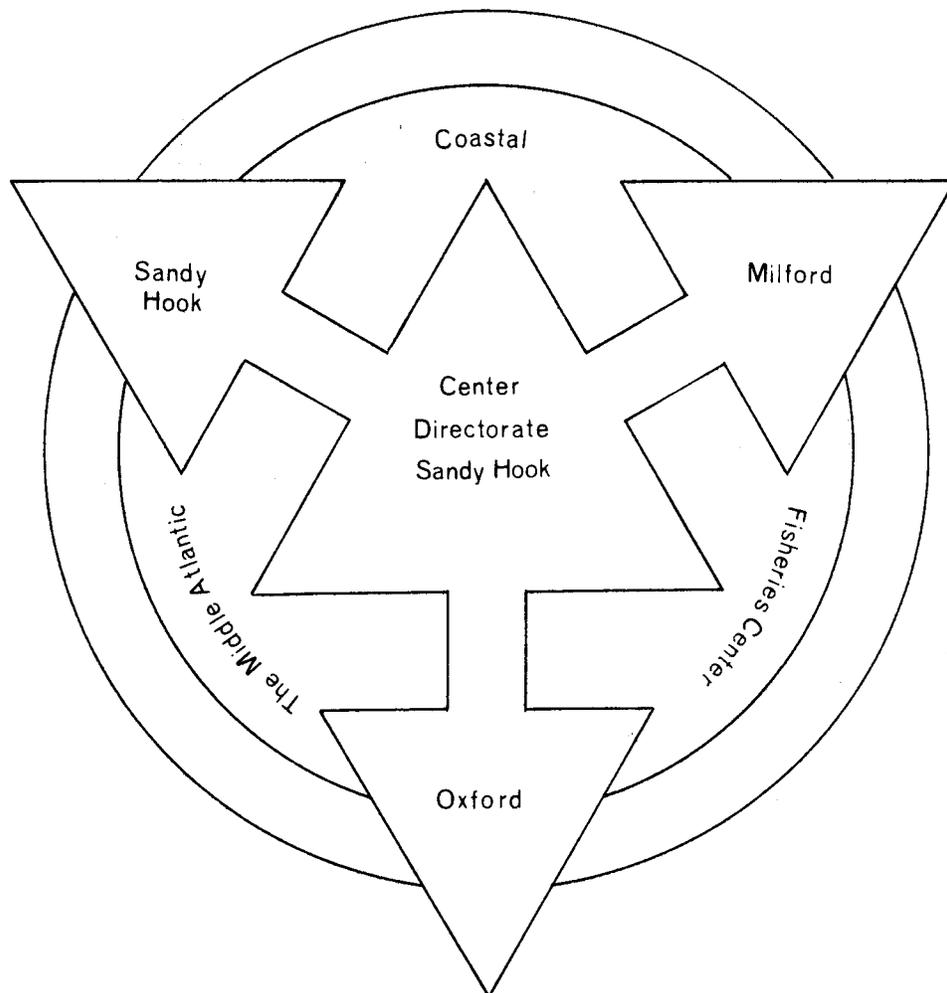




# Missions and Operational Guidelines

U.S. DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Northeast Region

## MIDDLE ATLANTIC COASTAL FISHERIES CENTER



Informal Report .no.1

February, 1972

MIDDLE ATLANTIC COASTAL FISHERIES CENTER

NOAA-NMFS

MISSIONS AND OPERATIONAL  
GUIDELINES

INFORMAL REPORT NO. 1

February, 1972

## TABLE OF CONTENTS

	<u>Page</u>
I. Introduction .....	1
II. Organizational Structure .....	6
III. Statement of Purpose (Mission) .....	15
IV. Responsibilities and Authorities of the Center Director..	20
V. Management Philosophy.....	26
VI. The Budget.....	30
VII. Major Research Units .....	39
A. Ecosystems Investigations .....	40
B. Resource Assessment Investigations .....	42
C. Experimental Biology Investigations .....	48
D. Pathology Investigations .....	50
E. Aquaculture Investigations .....	52
F. Multidisciplinary Areas of Competence within the Middle Atlantic Coastal Fisheries Center.....	53
VIII. Administrative Services .....	55
IX. Technical Services .....	61
A. Vessel Operations .....	61
B. ADP Operations .....	63
C. Library Operations .....	64
D. Special Studies Unit .....	65

	<u>Page</u>
X. Program Planning and Evaluation .....	68
XI. Relations with other Agencies and Research Groups .....	75
A. State-Federal Fisheries Initiative.....	76
B. University Relations .....	78
C. MARMAP .....	80
D. New York Bight Contaminant Studies .....	81
E. Long Island Sound Studies.....	83
XII. Personnel Management .....	84
A. Position Classification .....	85
B. Employee Performance Evaluation.....	86
C. Promotion Review Board and Promotion Policy...	88
D. Incentive Awards .....	90
E. Career Development .....	91
F. Supervisory Training .....	93
G. Employee Motivation .....	95
H. Equal Employment Opportunity (EEO) .....	98
I. Labor Management Relations.....	103
XIII. Communications .....	106
A. Reports and Publications .....	109
B. Center Meetings .....	111
C. Meetings of Investigation Staffs .....	113
D. Policy Statements and General Memoranda .....	114

	<u>Page</u>
XIV. Future Programs and Plans .....	115
Appendix A Center Director: Position Description .....	118
Appendix B Center Administrative Officer: Position Description ..	125
Appendix C Facility Administrative Officer: Position Description ..	134
Appendix D State-Federal Fisheries Management Initiative .....	141
Appendix E General Memoranda .....	155
Appendix F Sample Annual Review Summary (Oxford) .....	183
Appendix G EEO Statement .....	215
Appendix H Labor Management Relations .....	245

## I. INTRODUCTION

The Middle Atlantic Coastal Fisheries Center is one of a series of seven centers established recently by the National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U. S. Department of Commerce. One of the primary functions of this and other centers is the development of integrated programs of fisheries and environmental research. This document contains summarizations of organizational, operational, and program matters. It is to be considered a prospectus and an interim document, designed to provide information and guidelines for current activities. It will undoubtedly require extensive revision as the Center's programs develop, hence it must be considered an interim operational statement. The various sections will require appreciable expansion, and some sections may be subjects of separate documents (for example programs and budget).

It should be perfectly clear that nothing included in this document is intended to replace or change existing Civil Service Commission, Department of Commerce, NOAA, or NMFS regulations and directives. The material here is rather an attempt to augment and possibly clarify such existing official statements, and to provide some very general guidelines in a number of research and administrative areas.

A brief synopsis of Center information follows.

NAME OF CENTER

Middle Atlantic Coastal Fisheries Center

ADDRESS

Sandy Hook, Highlands, New Jersey 07732

PHONE NO. AND OFFICIAL BUSINESS HOURS

(201)872-0200

8:00 a.m. - 4:30 p.m. Eastern Time Zone

REPORTING RESPONSIBILITY THROUGH:

Region III

Mr. Russell T. Norris

Regional Director

4 Elm Street

Gloucester, Massachusetts 01930

Phone: (617)281-0640

CENTER STAFF:

Director: Dr. Carl J. Sindermann

Deputy Director: Mr. John A. Holston

Administrative Officer: Mr. Daryl L. Mayberry

Secretary: Mrs. Kathe Melkers

## RESEARCH FUNCTIONS

1. Benthic-zooplankton food chains; physiological responses to toxins and organic wastes; zoogeographic distribution of benthic populations; evolution and succession of reef structures; effects of man-made environmental changes on abundance and distribution of marine organisms.

2. Life history, distribution, migration, physiology, behavior of marine sport fish; subpopulation studies using immunogenetic and biochemical techniques; statistical and geographical inventories and atlases of marine sport fish; larval fish distribution, abundance and physiology.

3. Genetic manipulation of selected mariculture species; mutagenesis related to environmental factors; experimental effects of environmental factors on growth, development, behavior and survival of marine fish and shellfish.

4. Determination of chemical contaminants in marine resources, food chain organisms, and in environment; microbial changes (introduction and survival - including human pathogens) in inshore environment resulting from man-made changes.

5. Effects of infectious and noninfectious diseases on living marine resources; environmental influences on marine disease entities; impact of disease on marine resources; development of effective methods to control diseases in natural environment and in mariculture operations; surf clam management; mechanisms of disease resistance.

PERSONNEL\*

<u>Facility</u>	<u>Perm. Scientif.**</u>	<u>Perm. Tech. &amp; Admin.</u>	<u>Temp.</u>	<u>Vess.</u>	<u>Total</u>
Center Hdqrts.	2	2	-	-	4
Sandy Hook	19	34	-	11	64
Oxford	13	14	3	-	30
A <sup>2</sup> Milford	8	-	-	-	8
Milford	<u>16</u>	<u>11</u>	-	-	<u>27</u>
Totals	58	61	3	11	133

\*Vacant positions as of 11/30/71 not included

\*\*Directors and deputies included

FUNDING

FISCAL YEAR 1972

STATION	ORG. CODE	APPROP.	PROJECT #	DESCRIPTION	SALARIES	AMT. FY 72
North Atlantic Coastal Fisheries Research Center (Sandy Hook)	7931000	02	0201009	Other ecological and environmental research		
	7931000	02	0201002	Marine contamination	51.0	16.6
	7931001	02	0201716	R/V Delaware (and Dolphin)	163.0	51.6
	7931000	02	0201712	R/V Challenger (deactivated)	20.1	11.1
	7931000	02	0201706	R/V Dolphin		
Laboratory for Environmental Relationships of Fishes (Sandy Hook)	7931000	02	0201009	Other ecological and environmental research	607.0	181.6
Laboratory for Experimental Biology	7931200	02	0201002	Marine contamination	305.0	76.0
Laboratory for Environmental Chemistry and Microbiology (Milford)	7931300	02	0201009	Other ecological and environmental research	150.0	115.0
Laboratory for Ecology and Pathology of Marine Organisms (Oxford)	7931400	02	0201706	Biological research-marine contamination	291.2	123.2
	7931400	07	0701706	Biological research-marine contamination		

FACILITIES AND VESSELS

The Center is composed of a Directorate, an associated administrative and technical unit, and five discipline-oriented major research units. The Center also supports one ocean-going research vessel (R/V Delaware II, Sandy Hook, N. J.), three small research vessels (R/V Challenger, Sandy Hook, N. J.; R/V Shang Wheeler, Milford, Conn.; R/V Alosa, Oxford, Md.) and two substations out of Oxford Laboratory (Point Pleasant, N. J. and Franklin City, Va.).

DOMESTIC RELATIONS (See facility activities)

Serve as consultants to Regional Director for Atlantic States Marine Fisheries Commission activities and programs; participate in several cooperative research projects with Federal, State, university, foundations and private research organizations and resource management agencies and groups; serve on several research, conservation, resource management and pollution panels and committees; consult and cooperate with State and sport fishery groups in building of artificial reefs; laboratory training programs.

INTERNATIONAL RELATIONS (See facility activities)

International Biological Program; consultants to FAO training programs for international researchers in field of mariculture, diseases, immunogenetics, serve on international committees and scientific organizations.

UNIQUE CAPABILITIES (See facility capabilities)

Scuba diving teams, genetics marine animals, analytical chemistry, diseased marine animals, electron microscopy, microbiology, artificial reefs, cooperative research with nearby universities (examples: Yale, University of Connecticut, Fairfield University, Rutgers, Trenton State, Georgetown, Johns Hopkins) and Federal and State research laboratories (examples: NIH, NCI, AFIP, Walter Reed, University of Delaware, etc.).

## II. ORGANIZATIONAL STRUCTURE

The Middle Atlantic Coastal Fisheries Center, is a component of the Northeast Region, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U. S. Department of Commerce. The Center is a consolidation and integration of the Sandy Hook Marine Laboratory, the Oxford Biological Laboratory, the Milford Biological Laboratory, and the former Ann Arbor Technological Laboratory (now based at Milford). These units (regrouped and subdivided by disciplines in some cases) function under direct line authority of the Center Director, who is directly responsible to the Director, NMFS North Atlantic Region, for broad integrated programs of research on living coastal resources of the Northeast Region.

The Center is composed of a Directorate, an associated centralized Administrative Unit, and five discipline-oriented research units, as outlined in the following chart.

Research facilities of the Center are located at Sandy Hook, N. J., Milford, Conn., and Oxford, Md.

ORGANIZATIONAL DIAGRAMS  
OF MAJOR RESEARCH UNITS

Middle Atlantic Coastal Fisheries Center

Administrative Services

Senior Scientist  
(Dr. Walford)

Technical Services:  
Vessel Operations  
ADP Operations  
Library Operations  
Special Studies

Ecosystems Investigations  
(Dr. Pearce)

Resource Assessment Investigations  
(Dr. Merrill)

Experimental Biology Investigations  
(Dr. J. Hanks)

Pathology Investigations  
(Dr. Rosenfield)

Aquaculture Investigations  
(planning only)  
(Dr. J. Hanks)

Benthic Ecology  
Trophodynamics  
Ecology of Marine Microorganisms  
Environmental Chemistry  
Environmental Influences on Disease  
Environmental Rehabilitation  
Biogeochemistry  
Environmental Microbiology

Coastal Surveys  
Ichthyoplankton  
Sportfish Assessment  
Stock Identification  
Life Histories  
Biostatistics of Landings  
Population Dynamics (Gamefish)  
(Ocean Shellfish)  
Behavior of Marine Organisms  
Atlases

Algology  
Rearing: Induced Spawning  
Nutrition  
Genetic Manipulation  
Larval Mortalities  
Larval Physiology  
Physiology of Marine Organisms  
Mutagenesis  
Bioassay: tolerance and survival

Descriptive Pathology  
Mortalities of Marine Organisms  
Parasitology of Marine Organisms  
Environmental Influence on Disease

ORGANIZATIONAL DIAGRAMS  
OF MAJOR RESEARCH UNITS

Ecosystems Investigations  
Dr. J. Pearce, Director

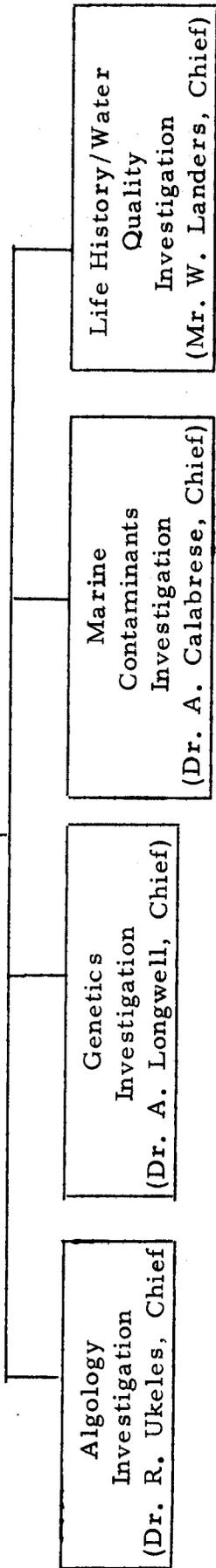
Biological  
Oceanography  
Investigation  
(Mr. C. Gibson, Chief)

Environmental  
Rehabilitation  
Investigation  
(Dr. D. Frame, Chief)

Environmental  
Microbiology  
and Chemistry  
Investigation  
(Dr. J. Graikoski, Chief)

Marine  
Contaminant  
and Coastal  
Ecosystems  
Investigation  
(Dr. J. Pearce, Chief)

Experimental Biology  
Investigations  
Dr. J. Hanks, Director



Pathology  
Investigations  
Dr. A. Rosenfield, Director

Diseases in Stressed  
Environments  
Investigation  
(Dr. A. Rosenfield, Chief)

Comparative  
Pathology  
Investigation  
(Dr. R. Murchelano, Chief)

Experimental  
Pathology  
Investigation  
(Dr. R. Murchelano, Chief)

Diseases in  
Mariculture  
Investigation  
(Dr. A. Rosenfield, Chief)

Resource Assessment  
Investigations  
Dr. A. Merrill, Director

Coastal Resource  
Investigation  
(Mr. A. Pacheco, Chief)

Behavior and  
Physiology  
Investigation  
(Mr. B. Olla, Chief)

Estuarine Resource  
Assessment  
Investigation

Ichthyoplankton  
Investigation  
(Mr. W. Smith, Chief)

### III. STATEMENT OF PURPOSE (MISSION)

The mission of the Center is to develop, establish, and to prosecute aggressively an integrated, cooperative multi-discipline research program on the biology and ecology of the living marine coastal organisms of the North Atlantic Ocean, especially in the zoogeographic area known as the Middle Atlantic Bight. This program is to be prosecuted in full cooperation with other interested Federal, State, and municipal agencies and with local academic and non-profit research institutions. The research responsibilities of the major research units are as follows:

Ecosystem Investigations (Dr. J. B. Pearce, Director of Investigations) are primarily concerned with benthic-zooplankton food chain studies, physiological responses to toxins and organic wastes, zoogeographic distribution of benthic populations, evolution and succession of reef structures, and with surveys and analyses of the effects of man-made environmental changes on abundance and distribution of marine organisms. A major immediate responsibility is the New York Bight area, where such man-made changes are most profound.

Important aspects of ecosystems investigations concern environmental chemistry and microbiology. This work, located principally at the Milford facility, is primarily concerned with the determination of the level of chemical contaminants in marine resources, food chain organisms and in the environment of the marine animals. It is also concerned with the distribution of microorganisms (bacteria, viruses, fungi and algae) in the marine animals, as well as in the estuarine, inshore and marine environment with particular attention to the effects of man-made changes on the flora and the introduction and survival of potential human pathogens in the marine environment.

The Resource Assessment Investigations (Dr. A. S. Merrill, Director of Investigations) are primarily concerned with assessment of abundance, distribution, and surplus yields of important coastal fish and shellfish species of the Middle Atlantic Bight and adjacent waters. Fisheries biological studies constitute an important aspect of the investigations. Included are: studies of life histories, distributions, migrations, physiology, and behavior of coastal species of the Middle Atlantic Bight and adjacent waters; subpopulation studies using immunogenetic and biochemical techniques, statistical and geographical inventories and atlases of marine sportfish; and larval fish distribution, abundance, and physiology.

Experimental Biology Investigations (Dr. J. E. Hanks, Director of Investigations) are primarily concerned with genetic manipulation of selected mariculture species and with mutagenesis related to environmental factors; as well as with experimental studies of the effects of environmental factors, natural and man-made, on growth, development, behavior, and survival of marine fish and shellfish.

Pathology Investigations (Dr. A. Rosenfield, Director of Investigations) are primarily concerned with pathogens which affect living marine resources, with environmental influences on marine diseases, with assessment of the impact of diseases on such resources, and with effective methods of control of diseases in mariculture.

Aquaculture Investigations (Dr. J. E. Hanks, Director of Investigations) are concerned with planning research and development important to aquaculture systems, with special emphasis on molluscan and crustacean species.

The Middle Atlantic Coastal Fisheries Center, because of the nature of existing staff competence and location of facilities, is admirably suited for the development and execution of coherent programs of coastal fisheries research. Among the critical problem areas to be

confronted are: Effects of increasing levels of pollution and other man-made environmental changes on the survival and abundance of fishes; biology, ecology, and behavior of species whose distribution or migration extend beyond State boundaries; study and surveillance of living resources of the contiguous zone; study of trends in coastal fisheries production -- both recreational and commercial, and determination of causes for certain obvious declines in abundance and shifts in centers of abundance; need for specialized studies of the impact of disease on marine animals.

Critical immediate problems which need to be confronted by the Middle Atlantic Coastal Fisheries Center include: coordination and integration of research efforts of component laboratories oriented toward a few broad programs (e. g. , New York Bight Study; effects of pollutants on fish); increased visibility for NMFS research in coastal resource problems; development of effective cooperative working relations with other research groups (State, Sea Grant, EPA, universities, Corps of Engineers, other NMFS research centers, etc.); development of effective communication with NMFS water resources staff, State conservation agencies, industry segments and sportsmen.

Coastal research areas in which it seems possible to develop high visibility and significant coherent programs include:

1. Full assessment of the effects of pollutants and other man-made changes on marine life. The New York Bight Study would be a focus of field and experimental work.
2. Analysis of trends in coastal fishery resources -- both recreational and commercial -- with an evaluation of the impact of various factors, man-made and other, on abundance.
3. Development of nationally recognized programs in disease and marine genetics (including immunogenetics) -- oriented especially but not exclusively toward mariculture. Sea Grant has scattered and somewhat fragmented efforts in both these areas, but there is extensive space for substantial NMFS input. Informal training programs in aquaculture and pathology have been carried on at Milford and Oxford respectively, and this effort should be continued.

#### IV. RESPONSIBILITIES AND AUTHORITIES OF THE CENTER DIRECTOR

The major responsibilities of the Center Director are program planning, program integration and coordination, program evaluation and reporting, and contacts with outside research groups (universities, States, EPA, Corps of Engineers (thru CERC), etc.). Management control will be effected by a standardized detailed system of planning documents and scheduled completion of phases. Annual detailed program review and periodic updating of program documents will be expected. The Deputy Center Director functions as Center Director in the Center Director's absence, and works closely with the Center Director in all phases of Center activities. Neither the Center Director nor the Deputy Center Director will be directly involved in the day-to-day management of any of the component laboratories of the Center.

The center concept has as its core the integration of research activities of a number of previously semi-autonomous laboratories, often in several geographically separated facilities. Such integration provides opportunity to bring greater breadth of research competence to bear on significant problems concerning living marine resources.

The Center thus makes possible on a much broader scale the integration and application of multi-disciplinary approaches to common problems which formerly characterized only the largest individual laboratories.

The Center Director has the opportunity and the challenge of attempting to integrate, coordinate and stimulate activities of diverse research groups -- state, university, and private -- with those of NMFS. His role extends over a broad geographic area, and includes a number of related non-research activities such as provision of scientific advice in development of fisheries management plans in cooperation with one or more states; coordination of NMFS and Sea Grant activities in broad geographic area; provision of scientific back-up information for development of regional coastal management plans in cooperation with water resource groups; close cooperation with Corps of Engineers (CERC) in their multiple activities concerned with coastal and estuarine waters; interactions with user groups -- particularly sport and commercial fisheries -- leading to most effective use of coastal living resources.

Directors of large multi-disciplinary laboratories formerly carried on some of these functions in limited geographic areas, and insofar as time permitted, in view of their primary role in day-to-day research laboratory management. The Center Director should be able to address himself to such areas more intensively and more continuously. Also, since his authority extends over a number of facilities, he can make commitments of a broader nature in response to needs of the various groups with which he communicates.

RELATIONS WITH OTHER GROUPS      One of the primary, and undoubtedly the most difficult, functions of the Center Director will be to plan, develop, and insure continuity of broad research programs extending beyond the confines of individual facilities. Centers of great competence exist within such facilities -- and they will continue to exist -- but the successful coordination of activities of a number of such groups has not been attempted previously. Part of the success will lie in the ability to convince all key staff members that the broader integrated approach to problems of living resource research is fundamentally sound, and provides advantages over other fragmented approaches.

THE CENTER            The Center Director is ultimately responsible  
DIRECTORATE           for all phases of the Center's administration  
AS A WHOLE            as well as its research and service activities.

Much of this responsibility obviously must be shared and/or delegated.

For example, responsibility for research planning, coordination, and analysis must be jointly shared with Directors of Investigations and research staff; responsibility for vessel programming and logistics must be shared with the research unit leaders and the marine superintendent; responsibility for administrative procedures and activities must be shared with the Center Administrative Officer and the Administrative Assistants of the several geographically separated facilities.

The principal functions of the Center Director include:

1. Setting objectives and goals, stimulating research, and determining policy;
2. Organizing effective research groups;
3. Maintaining the best possible environment for research;
4. Insuring effective communication within the group and with outside groups of all kinds;
5. Examining and analyzing research results;
6. Recruiting key staff members;
7. Developing research and supervisory capabilities of staff members;
8. Insuring proper status and satisfaction of scientists and supporting staff;
9. Coordinating research and related activities with those of industry, academic, federal, state, and international groups and agencies.

The Deputy Center Director has a critical role in the Center's administration and research activities. He is the Director's deputy in all duties and responsibilities and has full responsibility in the absence of the Director. Additionally, some of the Director's responsibilities are directly delegated to the Deputy Director to provide effective overall administration of the Center. At present these responsibilities include administrative oversight of the Center's Technical Services group. In all other administrative areas and at all times the Deputy Director should be considered to speak and act with the authority of the Director.

Directors of Investigations have a primary role in planning, supervising, stimulating, and participating in effective research within their programs. They also have advisory responsibilities related to the research orientation and procedures of the Center. Directors of Investigations meet regularly with other supervisors as a Planning Council to consider and advise on many aspects of Center research and administration. In this advisory capacity they are expected to consider certain subjects from the viewpoint of the good of the Center rather than the individual research program. All supervisors have the responsibility of bringing to council meetings the opinions, comments, and suggestions of their staff, and of communicating the results of discussions to the staff members they supervise.

The Administrative Officer oversees and coordinates all Administrative Services components of the Center. These include personnel, finance, purchasing, and buildings and grounds. These key activities are vital to the efficient operation of the Center and to the support of the Center's research. The Administrative Officer is a member of the Center Planning Council.

The Marine Superintendent supervises Marine Services -- which include vessel operations, crewing, and maintenance. His responsibility is to provide functional and efficiently operating vessels to support the research programs. The Marine Superintendent is a member of the Center Planning Council.

Position description for the Center Director appears as Appendix A.

## V. MANAGEMENT PHILOSOPHY

The Middle Atlantic Coastal Fisheries Center is primarily a research organization, hence whatever aids and fosters research is good, and whatever hinders it is not good. However, for most effective operation there are ground rules and procedures that must be followed, since an orderly administrative structure and orderly routes of authority are necessary to provide proper support for research activities. Productive research people deserve all possible assistance from the administrative staff, since the administrative and service functions of the Center are designed to facilitate research functions. The supporting staff in a research laboratory plays an important and critical role in the success of the organization. This role should be recognized and appreciated.

One of the primary goals in administration of a research organization must be the maintenance of an environment conducive to effective research. Research organizations should by their very nature be pleasant, productive, and stimulating places in which to work.

Program objectives and research orientation will be reviewed periodically. Research unit leaders can and should expect considerable autonomy in planning and executing research, but since the Center Director is ultimately responsible for the research carried on by the laboratories, final decisions on objectives and orientation must remain with him.

Published results of research constitute the primary products of research. A major responsibility of research people is to make the results of their research known through continuing scientific publication. While progress reports and summaries of various kinds are required occasionally, there is a danger in the production of excessive amounts of mimeographed materials, which do not constitute publication. Research is a continuous and continuing process, as is publication of results. All projects should be planned with a definite publication in mind. Preparation of results of completed research for publication should be carried on concurrently with active research on new projects.

For effective operation of a research organization, communication is essential. This includes communication among research people, between the scientific and supporting staff, and communication with Regional Office and user groups. To this end regular staff meetings, annual program reviews, and other types of conferences will be required as a matter of policy.

The attitudes, emphasis, and progress of research groups are influenced to a large extent by their Director. The creation of a favorable research climate is his direct responsibility. The Director and the research climate he creates will in turn determine the ultimate nature of the research staff -- whether it is to be composed of competent individualistic men or team research people.

A research director must retain close contact with research. He should have time for research-related activities of his choice, whether these be in writing, planning, evaluation, or even active participation in some phase of research in his own area of specialization if he so desires. He is of course expected to engage in broad thinking and syntheses in the larger area of marine biology and oceanography, and to speak authoritatively in his area of particular scientific interest. He must become intimately familiar with all aspects of research under his administrative control -- so that he can communicate intelligently with staff members of widely diverse specializations and interests, and so that he can communicate effectively with user groups and the corporate and private sector of the public about the research under his direction.

Standard administrative measures and techniques can be useful in research management, but are usually oriented toward typical administrative structures where decision making is concentrated at the apex of the structure. Research groups are somewhat atypical organizations for several reasons:

1. The course of research is not as amenable to precise planning and phasing as is the programming of industrial production. Variations in emphasis, to capitalize on insights gained, must always be possible, and it is extremely difficult to predict when important advances will be made, or what their nature will be.

2. Decisions on research matters are largely the prerogative of individual scientists and their group leaders, within a frame of reference of approved program objectives. Only by allowing such a state to exist can we expect to have laboratories staffed with capable productive research people.

3. Research people are difficult to categorize, but are often atypical in ways that may require departures from textbook administrative techniques. They prosper best with stimulation of peers, presence of an excellent and efficient library, and ease of communication with other research groups. They have maximum interest in the end product -- published research -- since it represents a personal as well as a group achievement.

## VI. THE BUDGET

1. In a research environment, the budget, while a form of administrative control of spending, is primarily a planning document -- it affords a measure of the costs of doing a proposed research and permits also a measure of the ratio of such costs to the benefits accruing therefrom -- in order that a proposal may be weighed against other proposals competing for the same public funds. It follows therefore that the planning must be thorough, that costs must be held down, that benefits must be carefully documented and that research schedules must be on a minimum-time basis.

Administrative handling of the day-to-day budgetary activities are handled elsewhere in these guidelines (see section VIII). The purpose of this section is to cover those aspects of budget formulation and usage that impinge upon research activities.

The research budget is a dynamic thing -- never the same two years in a row, seldom if ever remaining without at least minor change for more than a quarter year, despite the care expended upon its formulation. Outside influences, imposed operational constraints, reprogramming, emergency repairs, constantly affect it. Nevertheless, it is the basic document which reflects the authorized scope and depth of our activities and is a measure of what the public, through its elected officials, think of our work.

The budget can be looked at as being composed of three units: the past year (PY) budget, the current year (CY) budget and the budget year (BY). For our present purposes, the past year (PY) ended on June 30, 1971, the current year (CY) will end on June 30, 1972, and the budget year (July 1, 1972 - June 30, 1973) will have become the current year. We are therefore constantly planning for work to be done and expenditures to be made from 12 to 18 months in the future.

As mentioned above, such planning must be (1) thorough, (2) of minimum cost, (3) carefully scheduled, and (4) results should be carefully documented and maximum benefits derived. These can be achieved through (1) application of manpower controls, (2) the Critical Path Method (CPM), and (3) by the establishment of a Center-wide, free-access physical and biological data bank and its utilization in simulation and predictive planning.

The new current year: -- The basic research document (2-116) consists of a costs sheet to which is appended a narrative research proposal. As a costs sheet, it is, when approved, a voucher, the base on which the budget is formulated. As a general rule, 2-116's for all continuing and anticipated Center activities will be submitted annually to the Center Directorate prior to the beginning of the new current budget year. Thus, 2-116's (and attached program plans) for fiscal '73 will be submitted by May 30, 1972.

The narrative research proposals will consist of three major elements: (1) a statement of the problem(s) and the proposed solution. (2) a "milestone" chart and (3) anticipated accomplishments during the new current year (fiscal '73) and the new budget year (fiscal '74). A narrative research report and milestone chart will be prepared for each Investigation by the respective Chiefs. Directors of Investigations will evaluate each statement and chart, modify them in consultation with the appropriate Chiefs, prepare an overall 2-116 cost sheet and forward to the Center Director.

Element #1 (Statement of Problem(s) and proposed solution) must be carefully prepared inasmuch as it also determines both the scheduling (milestones) and the expected accomplishments. Each solution will be presented in a logical series of hypotheses, the research effort will consist of a series of planned, crucial experiments designed to test each hypothesis. The anticipated successful conclusion of each crucial experiment will be considered a "milestone" for the purpose of the scheduling chart. It is highly probable that we will seldom, if ever, encounter a research problem for which no solution, based on known theory, can be postulated. While new knowledge can be confidently expected and may affect the original planning, alternative hypotheses can be constructed and tested.

Element #2 (The "Milestone" Chart) is a very simplified version of the Critical Path Method (CPM) whereby work can be programmed on a least cost/least time basis. Both aspects (least cost and least time) are desirable but seldom realized. After construction of the chart, it is desirable that it be set aside and that a second chart, developed backwards from the final results to the initiation time be prepared. In many cases, this latter procedure brings out needed steps (hypotheses) not considered in the first formulation. Develop charts on an anticipated elapsed time basis for each milestone. A very simple example of a milestone chart for a study of the impact of man's activities on the marine environment is appended for illustration. It is not intended to be all-inclusive or binding upon the Directors of Investigations. It does point out the importance (1) of asking the right questions, (2) of developing hypotheses that, if successfully tested, can give the necessary answers and (3) ensuring that the experimental designs are adequate and specifically tailored to answer the question posed.

The prepared charts will be evaluated at the Center for acceptability as to theoretical competency, timing and costs as well as for integration with other charts for purposes of expansion of results, additional savings through "piggybacking", etc. After approval, quarterly progress reports will be restricted to statements that progress toward current milestones for each project are/are not on schedule. Schedule slippage must be explained and steps taken to remedy the situation must be given.

Element #3 (Anticipated Accomplishments): Each milestone successfully passed becomes an accomplishment. While this element will be furnished to the Central Office just before the beginning of the current budget year, it is expected that, around October, the Central Office will be calling for current information on this subject. We would then be in position to detail which of the anticipated accomplishments had become concrete facts.

The new budget year: -- The initial form taken by the budget is a one or two page narrative statement submitted by the responsible task officer to the Center Directorate by September 30 of each year. It should be the end result of discussions by the Center Research Council and the follow-up development of a task officer appointed by the Center Director. A separate narrative will be submitted for each new activity approved by the Center Director for inclusion in the budget year request. The narrative will state the problem, present several alternative ways in which the problem may be resolved, indicate the benefits to be derived and estimate the total costs (over 5-year budget cycle).

After submission and receipt of acceptance by the Central Office for inclusion in the budget formulations, the task officer will continue development of the statement to a level consistent with the needs of the Director when appearing before the Administrator for the annual program and pre-budget review. The expanded statement must be submitted to the Center Director by January 30 next following the October 30 submission of the preliminary statement.

**Problem:** What are the effects of ocean dumping of sewage sludge and/or dredge spoils? (This is an open-end question, leading to fuzziness of objectives).

**Rephrased Problem:** Is ocean dumping adversely affecting the marine environment:

**Consider:** Effects may be expected upon:

- |                         |  |
|-------------------------|--|
| 1. Finfish              | 5. Aesthetics                              |
| 2. Shellfish            | 6. Deterioration of structures and vessels |
| 3. Food chain organisms | 7. Water quality                           |
| 4. Public health        | 8. Changes in bottom composition           |

How would effects be noted?

**Finfish:** disease general reduction in abundance, avoidance, public health hazards.

**Shellfish:** disease, necrosis of tissues, public health hazards.

**Food chain organisms:**

Pelagic: Abundance/diversity reductions. Baseline comparisons  
Benthic: " " " " "

**Aesthetics:** Debris on water, on beaches, smell, color changes, scum formation, etc.

**Deterioration of structures:** Census of Coast Guard maintenance costs  
(before and after)  
Census of vessel maintenance costs  
(before and after)

**Public health:** Changes in microbial populations - pathogens/anaerobes  
sulfur-bacteria, etc.  
Indicator organisms  
Coliforms, etc.

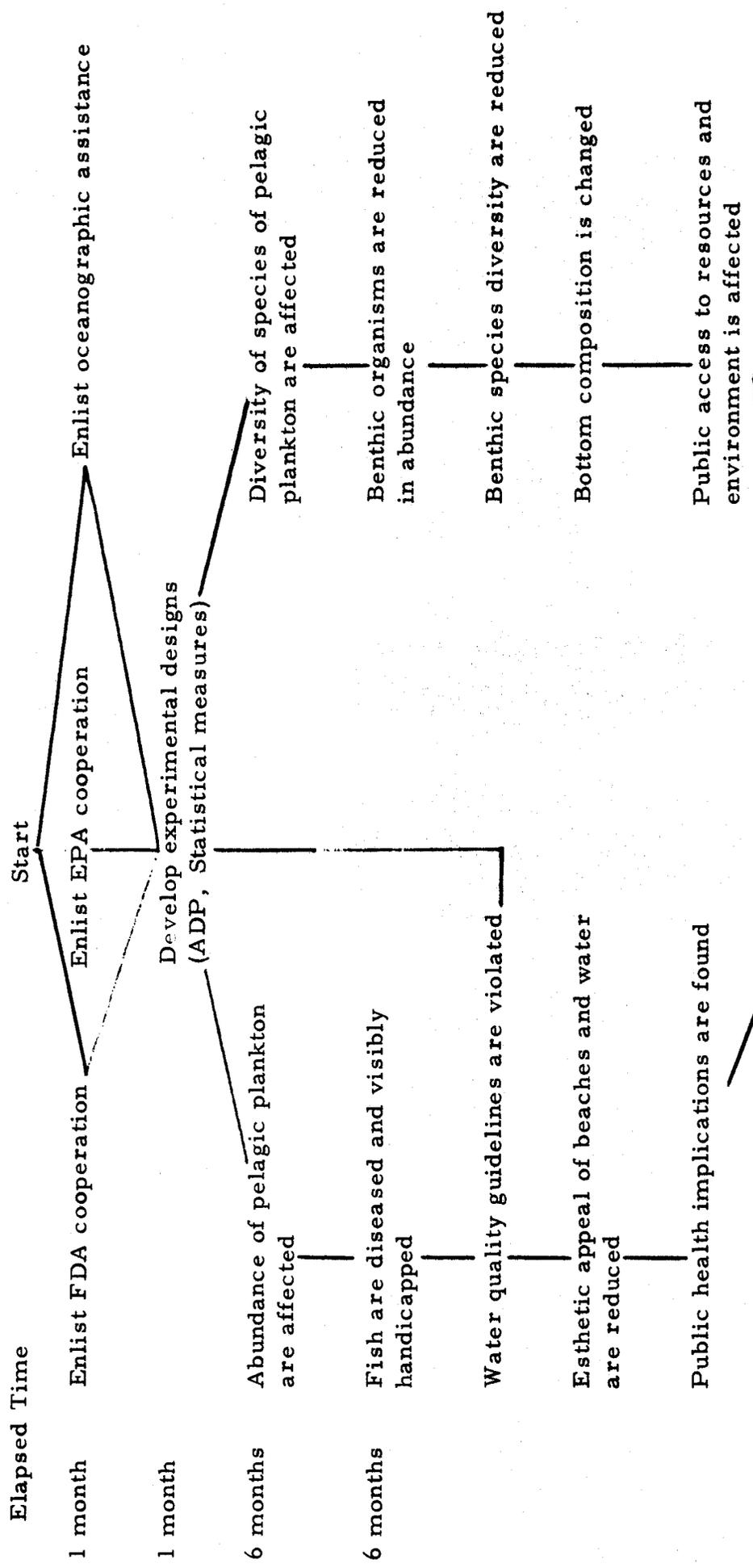
Which of these should be emphasized? by us? by FDA? by other cooperators?

What is the manner in which such effects would be noted:

Reductions in abundance: (1) topological surface describing abundance in an area (10 miles<sup>2</sup>) around dump site, shows marked, statistically significant depression in abundance at site corresponding with dumping grounds.

Reductions in species diversity: (1) Same as above  
(2) Series of bar charts showing diversity at site.

Milestone Chart: Is ocean dumping adversely affecting marine environment?



: Ocean dumping is adversely affecting the marine environment as evidenced by:

- 1
  - 2
  - 3
  - 4
  - 5
  - 6
  - 7
- etc.

## VII. MAJOR RESEARCH UNITS

Major research units of the Center, each headed by a Director of Investigations are:

Ecosystems Investigations

Resource Assessment Investigations

Experimental Biology Investigations

Pathology Investigations

Aquaculture Investigations (planning phase)

These major research units are largely discipline oriented. Interaction among them will be assured by (1) appointment of coordinators for special multi-disciplinary projects, such as the New York Bight Contaminant Study, and (2) continued and effective communication among all Center components engaged in interdisciplinary projects, by regular meetings, frequent visits to other facilities, and special meetings as necessary.

It may be that as research areas develop and evolve, other organizational groupings may become desirable. We will, however, operate with the present system of units for the foreseeable future.

## A. ECOSYSTEMS INVESTIGATIONS

The several investigations organized under the title " Ecosystems Investigations" are responsible for developing information about the relationship of environmental factors -- biotic and abiotic, natural and man-induced -- with the living resources of coastal waters.

Among the many difficult problem areas to be approached are:

1. What environmental factors influence or determine the success or failure of year classes (hence abundance) of coastal and estuarine fish and shellfish?
2. What effects are man-induced changes in inshore, and well-being of coastal stocks of fish and shellfish?
3. What is the relationship of food abundance to distribution and abundance of fish, and how is the availability of forage organisms related to man-induced changes in the environment?
4. What is the nature of man's effects on the inshore waters and their biota? What, for example, are the levels of pesticides and heavy metals in fish, shellfish, food chain organisms, and sediments -- and how are such levels affecting (or not affecting) the stocks?

5. What is the microbial flora in inshore waters and how is it influenced by man's activities? If changes in the flora occur, what is the effect on living resources? What threats to human health are developing as a consequence of changes in the microbial flora (as a result of handling or ingesting sea food)?

Obviously the problems far surpass the ability to confront them, but there are several areas of ongoing research which will be augmented. The most significant at the moment is a coordinated study of the New York Bight area, designed to develop information about the extent of damage to the environment and to its inhabitants on adjacent land. To be fully effective, this study must depend on information from resource assessment work about previous and present abundance levels of fish and shellfish in the bight area. While it is important to determine what is going on insofar as environmental degradation is concerned, it is equally important for us, as a NMFS component, to determine effects on living coastal resources.

## VII - B. RESOURCE ASSESSMENT INVESTIGATIONS

### Distribution and abundance of fishes in the Middle Atlantic Bight and adjacent waters.

The Sandy Hook Laboratory has for several years carried out a series of cruises consisting primarily of inshore trawling transects from Long Island to Florida. Original impetus was a need for information about the distribution, abundance, and migrations of bluefish and weakfish, but recent cruises have included attention to all fish species. Hydrographic information has been collected routinely.

We propose to expand our efforts in this program area, as part of an overall effort to assess stocks of coastal fish species of the Middle Atlantic area. Other components of the expanded effort include simultaneous larval fish surveys, and increased coverage of landings by recreational fishermen, as well as an attempt to assemble historical information about previous abundance of species with large biomass. Extensive cruises with the Delaware II, on an expanded transect pattern, will be conducted, and will be integrated to the extent possible with the Woods Hole groundfish surveys. Essential ingredients of each cruise will be: (1) trawl surveys of all fish species, (2) ichthyoplankton collections, and (3) hydrographic data from sampling stations.

These species of fish of general concern include:

Bluefish	Red Drum
Weakfish	Scup
Mackerel	Cunner
Fluke	Pollock
Yellowtail Flounder	Shad
Winter Flounder	Menhaden
Silver Hake	Mullet
Striped Bass	Sea Herring
Porgy	River Herring
Tautog	Spanish Mackerel
Cod	King Whiting
Croaker	Sea Bass
Spot	

Species of particular concern at present are bluefish, weakfish, mackerel and fluke. Data on species of concern to other NMFS Centers will be made available to them on a continuing basis.

The area of coverage will extend from Block Island southward to include the ranges of as many species as possible -- species which are important in the Middle Atlantic Bight, whether commercial or recreational.

Objectives of the program include:

- (1) Assessment of abundance and distribution of stocks of coastal fishes of the Middle Atlantic Bight.
- (2) Determination of the migration patterns and seasonal changes in geographic distribution of such stocks.
- (3) Determination of spawning locations and times.
- (4) Comparison of success of spawning, as indicated by larval abundance and distribution, with stock abundance in subsequent years.
- (5) Determination of fishing effort -- particularly that segment attributable to recreational fishermen.
- (6) Determination, from historical information, of changes in abundance or distribution of important species.
- (7) Description of environmental conditions associated with larval and adult fish samples.

### Fishery Biology

In addition to approaches which are clearly assessment-oriented, it is important to maintain a broad spectrum of supporting studies in fishery biology, including (but not limited to) life history studies, age and growth studies, stock identification, migration studies, and behavior studies. Most of these have been ongoing at the Sandy Hook Laboratory for a number of years, and these will be integrated into the larger resource assessment work. Such studies, combined with improved statistics from the coastal fishery, and with results of trawling and larval surveys, will provide the necessary scientific and quantitative basis for assessment of the status of coastal stocks.

### Surf Clam Resource Assessment and Management

The Oxford Laboratory of the Center has an eight year history of effective research on the biology of surf clams, and the former Gloucester Gear Research and Exploratory Fishing Base conducted extensive close-interval sampling of surf clam resources of the Middle Atlantic states, principally in the late 1960's. The surf clam fishery has enjoyed almost continuous expansion, and in the past decade has shifted southward to concentrations off Cape May, N. J. and Cape Charles, Va. With the advent of effective mechanical shucking devices, a greater proportion of the fishery has concentrated on smaller inshore clams during the past few years.

There is a present need to develop a management plan for the entire resource, since localized heavily fished stocks have shown some signs of depletion, even though the resource as a whole can easily tolerate expanded fishing effort. Several critical biological problems -- particularly those created by increased utilization of smaller inshore clam stocks -- need to be investigated. Also, continuing annual resurveys of the entire resource area need to be made. Biological questions important to the development of a management plan include:

1. What relationship exists between large clams offshore and smaller clams inshore? Does spawning of offshore clams contribute to inshore stocks and vice versa?
2. At what size does effective spawning of inshore clams occur?
3. How much time is required for heavily-fished stocks (such as those off Barnegat Light) to be replenished?
4. What factors are responsible for successful or unsuccessful setting in particular areas?

The climate for continued resource-oriented studies and for development of management plans for the entire resource and for its geographic subdivisions seems especially favorable. The fishery is still in an active growth phase, the industry is and has been favorably impressed with federal research accomplished, and at least one state (New Jersey) is actively interested in joint efforts oriented toward management. With the advent of the State-Federal Fisheries Initiative, and with economic input from NMFS and Sea Grant projects at the University of Rhode Island, the surf clam industry constitutes an excellent focus of attention, and one from which NMFS programs could achieve notable success and visibility. In fact the surf clam has been selected as one of the species to receive prime attention in the Northeast Region under the State-Federal Fisheries Initiative.

### C. EXPERIMENTAL BIOLOGY INVESTIGATIONS

A continuing need exists to understand many aspects of the biology and ecology of living marine resources. One important research area, which includes a number of investigations, is experimental biology -- an inclusive term for such studies as larval growth and survival, algal physiology, genetics of marine animals, and several others. With the recent concern for environmental degradation, it is also important to know the physiological responses of resource and food chain species to varying amounts of pollutants, singly or in combination. Effects on all life history stages must be known, and the effects of short-term versus chronic exposures should be understood. Such knowledge is important in considering both natural and cultured populations of marine animals.

A great breadth of biological knowledge has been developed for the eastern oyster, and to some extent for the hard clam. Similar information is needed for such commercial (and potentially culturable) species as the bay scallop, calico scallop, sea scallop, and surf clam. Equally important is the need for comparable studies of crustacean species of present commercial interest and future aquaculture interest. High on the list is the American lobster and the blue crab.

Among the several disciplines represented in experimental biology, the one with greatest potential seems to be population genetics. With the available technology of rearing several species of molluscs, crustaceans and fishes, experimental populations of marine animals are now available to the geneticist for artificial selection, hybridization, and other studies. The decade of the 1970's should experience great advances in genetic studies of marine animals, and this center has the ingredients to become a focus for such studies.

Also of importance in experimental marine biology is a better understanding of the dynamics of food chain organisms -- particularly the algae, on which all subsequent levels depend. Nutritional and other environmental factors related to algal survival and growth should be subjects of continuing study, as should effects of contaminants on algal physiology. An important consideration, related to genetic studies, is selective pressure for or against particular algal species as a result of specific or combined contaminants such as pesticides or heavy metals.

Another important experimental area, well suited to the present capabilities of the Center, concerns interaction of bacteria and algae in the sea, and the detection of imbalances created by man-induced contamination synergistic, antagonistic, and other interactions of algae and bacteria need further examination.

#### D. PATHOLOGY INVESTIGATIONS

The probably significant role of disease in marine populations has been generally accepted and then largely ignored until recently. Two developments -- the occurrence of large-scale disease-related mortalities in several marine species, and the obvious effects of diseases on cultivated marine animals -- have served to focus attention on acquisition of a better understanding of marine diseases.

The Oxford Laboratory (now a Center component) has assumed a dominant role in studies of diseases of economically important marine invertebrates, and has recently moved into fish pathology. It is expected that this dominant role will be continued, and augmented activities in several areas seem important. These areas include disease problems in mariculture, microbial diseases, fish pathology, immune responses to potential microbial pathogens, and neoplasms of fish and shellfish.

Greater interest in diseases on the part of fishery biologists and mariculturists has helped to expand research on diseases, supported by Sea Grant. A surprising number of institutional and project grants include studies of diseases and parasites. It will be important for this Center to maintain close liaison and effective communication with the

Sea Grant Office and with the groups receiving Sea Grant funds for disease research. It will also be important to continue doing outstanding research if we are to maintain a leadership position in this research area.

An important recent development is the role of environmental contaminants in producing or enhancing diseases and abnormalities in fish and shellfish. Enough evidence is now available to suggest a definite relationship between pollution and the occurrence of tumors and fin rot in fish. Other effects may be produced, but these two specific leads should be pursued vigorously -- both in terms of possible impact on the resources, and as biological indicators of environmental degradation. High frequencies of neoplasms in shellfish should also be subjects of continued vigorous research.

Microbial pathogens of marine fish and shellfish constitute an active research area worthy of greatly augmented attention. Current interest in marine vibrios, and the diseases they produce in fish and shellfish, should be of great concern to us. With recently acquired electron microscope capabilities, the viruses that infect marine animals should be examined in much greater detail (to date only two virus diseases of marine invertebrates have been reported).

## E. AQUACULTURE INVESTIGATIONS

Because of the nature of the budgetary process, funding for significant in-house aquaculture research must be delayed until FY 1974. It is important, however, to have a clearly-defined plan of research and action developed during the interim period. It is also very important to note that much of the present research of the Center -- genetics, experimental biology, pathology, physiology, nutrition studies, contaminant exposures -- relates directly to aquaculture. What we have now, then, are the fundamental studies related to aquaculture; what we lack now is emphasis on aquaculture systems -- including systems engineering and development of continuous flow production systems.

Some areas which will be of significance in planning (in addition to aquaculture systems) include genetic selection of molluscan, crustacean and fish species; hybridization; development of technology with species other than oysters and hard clams (bay scallop, calico scallop, smaller clam species) -- species which may be reared in closed systems; endocrinology (particularly as it relates to growth and metamorphosis of larvae); algal physiology; and nutrition (of cultured species and of food supply organisms).

VII - F - Multidisciplinary Areas of Competence within the  
Middle Atlantic Coastal Fisheries Center

1. Marine contaminants (includes environmental studies at Sandy Hook, chemistry and microbiology at Milford, bioassay and chronic exposure work at Milford, and pathology at Oxford).
2. Marine Microbiology (includes bacteriology and algal physiology at Milford, larval pathology at Milford, red tide and fin rot work at Sandy Hook, and microbial pathogen work at Oxford).
3. Resource Assessment - Middle Atlantic Bight (includes coastal fish biology and assessment at Sandy Hook and surf clam assessment at Oxford).
4. Genetics of Marine Animals (includes genetic selection work with molluscs at Milford, proposed crustacean genetics study at Milford, and proposed immunogenetics study at Sandy Hook).
5. Marine Ecology (includes Sandy Hook benthic studies, phytoplankton and food chain dynamics studies; estuarine studies at Oxford).
6. Physiology and behavior of marine animals (includes larval physiology at Milford, physiological effects of contaminants at Milford and Sandy Hook).
7. Pathology and mortality of marine animals (includes fish and shellfish pathology at Oxford, fin rot studies at Sandy Hook, and larval pathology at Milford).
8. Aquaculture (includes experimental biology and genetics at Milford and pathology at Oxford).

Multidisciplinary Projects Now Ongoing

Operational Area	Research Unit	Ecosystems Investigations	Resource Assessment Investigations	Experimental Biology Investigations	Pathology Investigations	Aquaculture Investigations
New York Bight Environmental Study		Benthic studies, Microbiology, Environmental chemistry	Effects on abundance	Bioassays, Effects of chronic exposures	Pollution-related diseases, abnormalities, mortalities	
Long Island Sound Studies		Effects of contaminants, including heated effluents	Abundance estimates			
"Red Tide" Studies		Pollution related blooms -- algae and bacteria	Mortalities of fish and invertebrates Incidences of fin rot disease	Algal nutrition and physiology, Effects of contaminants on algae	Pathology of fin rot disease	
Marine Microbiology		Survival and reproduction of pollution bacteria in the sea, occurrence of human pathogens in sediments, fish, shellfish, and sea water Indicator species		Microbial diseases of eggs and larvae in artificial culture	Diseases of fish and shellfish caused by facultative pathogens	

## VIII. ADMINISTRATIVE SERVICES

This and other NMFS centers will be headed by a Director and Deputy Director. Major investigational units at this and other centers will be kept to a minimum and will be compatible (but not necessarily identical) with the five national budgetary descriptors: resources survey, ecology, fishery management biology, aquaculture, and technology.

Such major units will be titled "Investigations" (plural) and each will be headed by a "Director of Investigations". Subunits should be kept to a minimum, and each will be called an "Investigation", headed by an "Investigation Chief". Subdivisions of an investigation (if needed) will be called projects.

Each facility will be headed by an Officer-in-Charge, who is one of the ranking scientists at the facility. The "Officer-in-Charge" will make necessary non-program decisions at a facility (assuming that the facility administrative officer will continue to handle the day-to-day business of the facility). The Officer-in-Charge of the facility will be the supervisor of the administrative officer for the facility, but all administrative officers will work closely with the Center Administrative Officer. Dr. Pearce is designated Officer-in-Charge at the Sandy Hook Laboratory; Dr. Hanks is designated Officer-in-Charge at the Milford Laboratory; and Dr. Rosenfield is designated Officer-in-Charge at the Oxford Laboratory.

The facility should continue to be referred to as a laboratory -- when referring to the building itself, but otherwise investigational titles should be used. For example, in conversation with others, people still should refer to their place of employment as the Milford Laboratory, but in such things as correspondence or manuscript headings, the proper designation should include Center, Investigations, and facility location.

#### Research Administration

(1) Inter-laboratory cooperation, coordination, and productivity will be assured through in-depth bimonthly visits by the Center Directorate, and occasionally by the Regional Director and/or Deputy Regional Director.

(2) Research planning, for both current and future activities, will be done by a Research Planning Council, chaired by the Center Director and composed of the Directors of Investigations and the Deputy Center Director. The Center Administrative Officer will be a member ex officio.

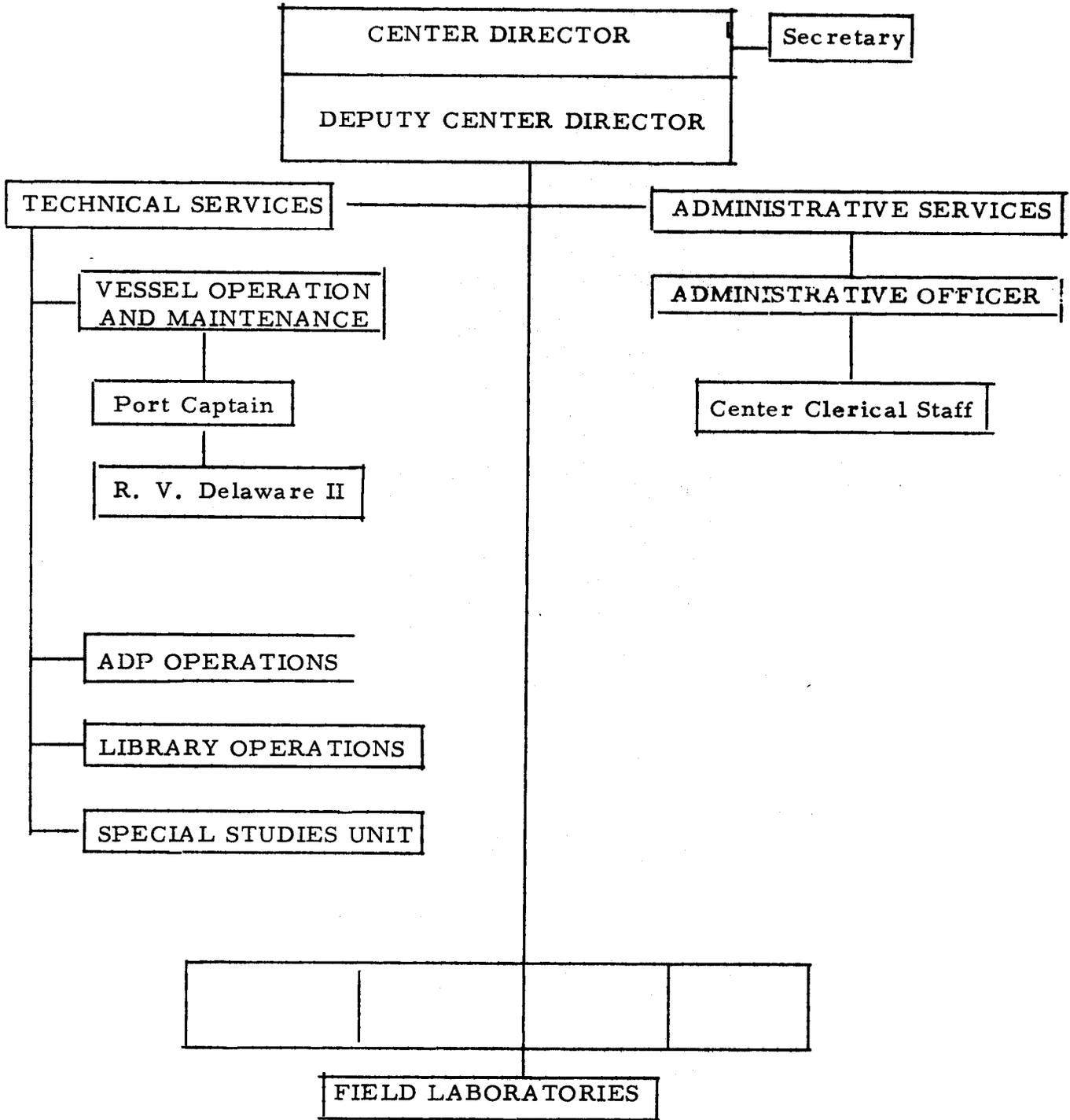
(3) It is intended that full and free communication at all levels of each component major research unit will be encouraged through regular on-site Investigation and Project Leaders meetings.

Non-technical Administration

(1) The non-technical administrative organization of the Center will consist of a Center Administrative Officer and a clerical staff (see attached diagram).

(2) Existing non-technical staffs at the Oxford, Sandy Hook, and Milford Laboratories will be retained.

(3) The Center Administrative Officer will perform as coordinator of all non-technical administrative activities. He will have primary responsibility for financial controls for the entire Center. He is responsible for analysis and evaluation of all field-generated administrative proposals. Facility Administrative Officers will be under the supervision of the Officer-in-Charge at the respective facilities for proper execution of housekeeping and maintenance activities, but will be responsive to needs and wishes of the Center Administrative Officer. The Center Director will specifically delegate to the Administrative Officer those responsibilities which would enable him to free the Director of certain administrative duties. Duties and responsibilities of the Administrative Officer and the Facility Administrative Officer are outlined in Appendix B (Position description: Center Administrative Officer), and Appendix C (Position description: Facility Administrative Officer).



(4) Responsibility for the initial preparation of all necessary forms (requisitions, personnel actions, etc.) remains with the Facility Administrative Officers who will submit them to the Center Directorate for review and evaluation as to conformity with established staffing patterns, financial plans, etc.

(5) Formal submission to the Regional Office will be made only upon receipt of approval from the Center Directorate. Administrative Officers at the field facilities will not initiate direct actions with Regional administrative personnel but are wholly free to discuss actions, previously approved by the Center Directorate, with Regional personnel for the purpose of clarification or amplification.

Officer-in-Charge of facilities -- Duties, Authorities and Responsibilities

The concept of Officer-in-Charge is a new one, and one which needs to be clearly defined. Essentially, the Officer-in-Charge, one of the Directors of Investigations located at the facility, will be responsible for final decisions relating to the facility, its space, its vessels and vehicles, and other non-program factors. Since decisions made will affect research and programs in tangible or intangible ways, the position of Officer-in-Charge will require the utmost in tact, diplomacy and communication with all who might be affected by any action. This will be particularly true in the cases when decisions involve vessel use, space allocations, etc. Normally the Officer-in-Charge would be expected to communicate with Directors of Investigations and Investigation Chiefs involved, before making decisions which would in any way affect research.

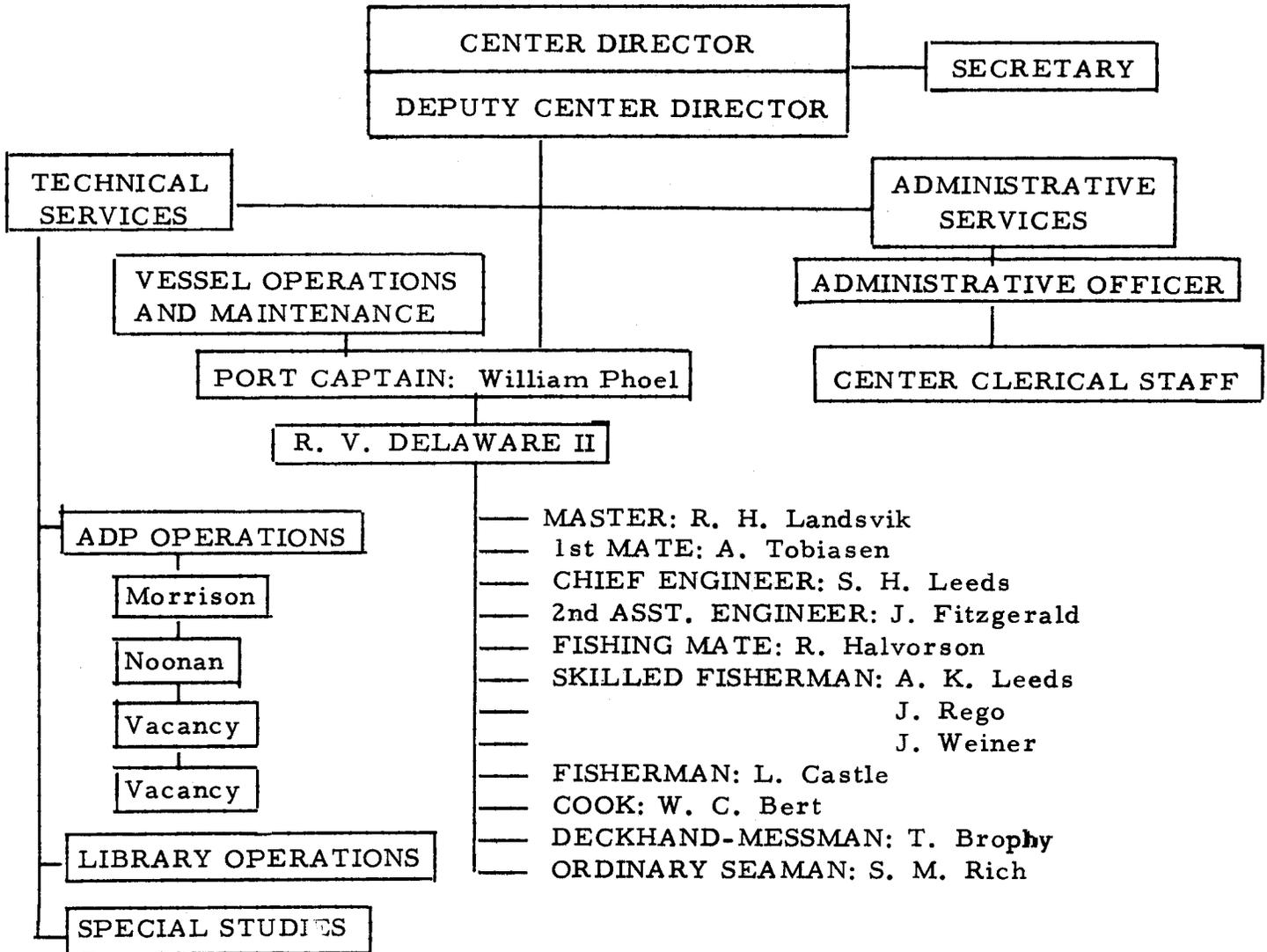
As in the past, the Administrative Officer at the facility will be responsible for most day-to-day transactions and business. The Officer-in-Charge will be his immediate supervisor, and will make those decisions which cannot be otherwise resolved. It should be perfectly clear that the Officer-in-Charge will have final authority at his facility for non-program decisions involving care, maintenance and use of facilities and services. The Officer-in-Charge will also be responsible for all property, inventory, and, by Investigations, of monthly reports of expenditures. All personnel management documents pertaining to a specific resident Investigation group will be forwarded to the Center Administrative Officer through the appropriate Director of Investigations.

## IX. TECHNICAL SERVICES

The Technical Services Unit consists of four sections, (1) Vessel Operations, (2) ADP Operations, (3) Library Operations and (4) Special Studies. General supervision of the Technical Services Unit will be one of the many responsibilities of the Deputy Center Director, (see attached organizational diagram).

### A. VESSEL OPERATIONS

The Vessel Operations Unit is composed of a Port Captain and the officers and crews of the research vessels Delaware II and Challenger. The unit is responsible for scheduling and providing vessel facilities and services to the several Investigation Directors. Responsibility for operation and maintenance of other vessels (smaller than 65 feet) of the Center remains vested in the appropriate Officer-in-Charge of a research facility. In the event of transfer of the larger vessels to NOS, the Port Captain would function as the Center's liaison officer with that agency.



## B. ADP OPERATIONS

ADP services will be provided to all Center Investigations by a centralized unit located at Sandy Hook. That unit will be transferred to the Center effective July 1, 1972. Decisions concerning priority of work assignments for this unit will be made by Center Directorate after discussions with appropriate Directors of Investigations. Close liaison will be maintained with the ADP Center at Woods Hole.

The ADP Unit will eventually be composed of a Programmer-Supervisor, a biomathematician, WAE, GS-14, a Programmer Aide, and two card-punch and verifier operators. The unit is responsible for supplying all Center components with data processing and computer services and for technical assistance in the development of written programs. Technical assistance in the statistical design of experiments will also be available.

### C. LIBRARY OPERATIONS

The Library Operations Unit is visualized as an instrument for coordinating Center-wide library subscriptions and purchases and for encouraging usage, on an interlibrary loan basis, by the individual laboratories of the specialized literature holdings of the other laboratories. The coordinating function will be performed on a rotating basis by each of the Center librarians and will thus permit each to become thoroughly familiar with the available references in each of the several laboratories. The rotating assignments will be for one year's duration, will not require change of stations, and will not impose a significant increase in job responsibilities. Librarians would continue to be assigned to the component laboratories.

#### D. SPECIAL STUDIES UNIT

The Special Studies Unit of the Center is designed to have a highly flexible yet significant role in Center activities and programs. It will be an instrument for planning and developing research proposals, for providing evaluative and technical-consultant services on ongoing programs and for integrative coordination of multi-laboratory efforts. Appointments to the Unit will be from Center personnel, will be of limited duration, will not require changes of stations and will be for specifically defined purposes. No changes in job descriptions will be necessary.

One of the basic functions of the Special Studies Unit would be to test innovative ideas or hypotheses. Often the facilities, staff, and budget of any single investigation cannot encompass the effort needed to explore all the desired or needed research areas, and a larger framework would be desirable. This is to be provided for the Center by the SSU. There will be no permanent staff in this unit. Field people whose innovative proposals or important program responsibilities appear to justify intensive development and/or prosecution will be appointed for varying periods of time to the unit. Such appointments will not involve a change of station.

Appointees may, if necessary, be relieved of regular duties at their home station while performing the function for which they were appointed. While remaining under the administrative supervision of the Director of Investigations, their progress reports, etc., will be forwarded directly to the Center Director. The latter will personally evaluate the work for creativity, technical competence and rate of progress. While such staff assignments carry no line authority, the appointees when requesting cooperation from Directors of Investigations will be reflecting the wishes of the Center Director. Every reasonable opportunity to discharge his responsibilities should be accorded to the appointee(s).

Such assignments could, if not reasonably prosecuted, upset the normal operations of the cooperating Investigations. For this reason, all such assignments will be discussed in advance with the Director of Investigations concerned and, in the body of the assignment memo, the scope of the assignee's authority to request cooperation will be specifically delimited. The assignment memo will contain detailed instructions as to level of authority, constraints on use of proper channels of communication, duration of appointment, reporting requirements, travel authority, supervision, and relation of assignment to current research responsibilities.

We expect that in the future many of the activities of the SSU would be generated and developed (and participants indicated) by the Center's Research Council.

Assignments of varying length to the Special Studies Unit of the Center may be made for purposes other than those mentioned above -- such as evaluation of certain specific research areas, or preparation of special publications or reports.

A copy of the appointment memo and follow-up correspondence (such as commendatory letters, awards, etc.) will be placed in the appointees personnel folder.

Reporting requirements will be clearly stated in the appointment memo. In some cases monthly or bimonthly progress reports will be expected; in other cases only a final report. In some cases reports will be made available to the Research Planning Council for further consideration; in other cases the report will be made directly to the Center Director, for his evaluation and use.

## X. PROGRAM PLANNING AND EVALUATION

An integral part of the success of research efforts in terms of value received for investment made, effective use of personnel, and compatibility with organizational goals, lies in detailed planning, adequate reporting, and consistent evaluation. These actions must involve individual research staff members, but they are the ultimate responsibility of Directors of Investigations and the Center Directorate.

### Program Planning

Documents will be developed by each Director of Investigations for all investigations under his control. For each investigation, the following format will be used as an outline:

1. Program summary
2. Objectives, justification, history, related work
3. Technical plan -- including data management and probability of success
4. Reliability of plan -- to reach stated objectives
5. Management plan -- who will do what, who has what authority and responsibilities
6. Management reports -- how information on the plan flows back to assess success or failure
7. Procurement
8. Schedules -- phases, milestones, completion dates
9. Resource requirements -- people, time, money
10. Program results

Planning documents should be developed by Directors of Investigations with the close cooperation and participation of Investigation Chiefs and such other investigation staff members as are desired.

Approved program documents should be in the hands of the Center Directorate, Director of Investigations, Investigation Chief, and all members of the investigation (professional and non-professional).

Quarterly reports of progress will be submitted by Investigation Chiefs to Directors of Investigations. Summary reports will be submitted quarterly by Directors of Investigations to Center Director.

Periodic reviews of progress, based on proposed completion dates and milestones should be made by Directors of Investigations (at least on a semi-annual basis) of each investigation under their control.

Annual on-site reviews and evaluations will be conducted by the Center Directorate and all Directors of Investigations, according to the guidelines which follow.

Annual Reviews of Investigations

1. Each Director of Investigations should plan an annual review, on a date scheduled well in advance. The review team will consist of Center Directorate, all other Directors of Investigations, Regional Office representative (optional) and Central Office (Resource Research) representative (optional).

2. Directors of Investigations should have prepared for the review a summary document of no more than 20 numbered pages which will include:

Agenda

Directors summary of significant accomplishments

Brief summary of each Project's accomplishment

Table of organization

List of publications

Each investigation and project summary should consist of three sections: Objectives and goals, significant accomplishments, and future plans. This document should be in the hands of each review team member at least one week in advance of the scheduled review date. A copy of a review summary prepared recently by Oxford is included as Appendix F.

3. Oral summaries should be given by Director of Investigations and each Investigation Chief. Insofar as possible, within the time allotted, Project Leaders may also be asked to present brief summaries, at the discretion of the Directors of Investigations. Initial summary by Director of Investigations will include overview, history, background, funding, and staff.

4. Scheduling of oral presentations should be such that time will be available for questions or comments from the review team.

5. The review should be planned to start at 1:00 p.m. of one day and to extend thru 4:00 p.m. of the next day, with a final hour for initial comments to the Director of Investigations from the review team.

6. All members of the review team will submit a copy of their comments in writing to the Center Director within one week after the end of the review. The Center Directorate will add its comments, and the entire package will be sent to the Director of Investigations concerned.

### External Reviews

Various kinds of external reviews may be requested. These could include reviews for background information or for specific objectives, conducted by NOAA, Department of Commerce, OMB, Civil Service Commission, panels of state and university people, etc. Common elements of all such reviews should be adequate preparation by staff members involved, and follow-up evaluation, preferably as a written report.

Research Planning Council

The Center's Research Planning Council, consisting of Center Director, Deputy Center Director, and all Directors of Investigations, will concern itself with plans for new research and evaluation of ongoing studies. It is an advisory body to the Center Director, and is constituted to insure the broadest possible field input into research planning.

Normally, part of each bimonthly meeting of Directors of Investigations will be convened as a Research Planning Council session.

Possible items for consideration include:

1. Review of proposals already submitted and circulated.
2. Review specific program and program documents -- preferably one located at the facility where the meeting is being held.
3. Review of Center's role in larger programs such as MARMAP, MESA, Aquaculture, etc.
4. Review of Center's relationships with outside groups such as Sea Grant, states, universities, etc.

An important function of the council would be to act as recipient for new research proposals. The proposed system includes the following procedures:

1. Director of Investigations submits one-page narrative proposal (preferably one month in advance of meeting).
2. Considered as "New Business" by Council.
  - a. Accepted (w/priority assignment)
  - b. Rejected
  - c. Tabled for further information
3. If 2a - (and high priority) - Recommend Program Development Leader (SSU)
4. If 2b - (and low priority) - Place in suspended file
5. If 2c - Request originator to supply additional information - for discussion under "Old" business next meeting
6. Status reports from each program - Development Leader at each meeting under "old" business
7. Center Director brings completed proposal documents to meetings of Executive Research Planning Council

## XI. RELATIONS WITH OTHER AGENCIES AND RESEARCH GROUPS

The Center must take an active, and at times primary, role in communication and cooperation with diverse research and management groups concerned with marine resources and their environment. Included would be university faculty members, groups, or institutes, whether funded by Sea Grant or not; state research and management groups; EPA and FDA laboratories carrying on research related to that of the Center; MARMAP coordinator and MARMAP research groups in other NMFS Centers; aquaculture activities, either in private companies or in universities; Corps of Engineers; Water Resources staff members; State-Federal Fisheries Initiative staff members; user groups interested in NMFS research (sport and commercial); citizens groups and a host of others.

Many of the interactions may be delegated or assumed by the Directors of the appropriate Investigations of the Center, and effective liaison and channels of field communication on research matters already developed and ongoing in the several facilities should be maintained. Additionally, there is no substitute for effective scientist to scientist communication, and nothing in this section should be construed to inhibit or supplant it, but there are areas where other routes of communication and group action -- panels, committees, conferences, review boards, etc. -- in which the Center could augment efforts of individuals, or even take lead roles in organizing and implementing.

#### A. STATE-FEDERAL FISHERIES INITIATIVE

This is a new program, built around state-federal-industry interaction and cooperation. A Central Office and Regional Office staff will be developed, with a regional plan of action determined largely by the Regional Director. The various NMFS Centers will be involved in cooperative work with state groups, in participation in meetings with various user groups (examples would be recent meetings held with sport fishermen and surf clam industry groups), and in evaluation of proposals and studies carried out under the program. The core of the program is the development of effective management of fisheries -- particularly those which cannot be managed effectively at present because of split state-federal jurisdictions. Included would be attempts to strengthen existing interstate compacts and organizations (such as ASMFC). The states would be actively involved in the planning phases, so would be truly partners in the undertaking. A severe limiting factor is the present absence of control of fishing by foreign nations on continental shelf stocks beyond 12 miles -- so the initial efforts of the state-federal plan should be directed toward those coastal stocks which are relatively unaffected by foreign fishing.

Summary statements (interim documents) are included as Appendix D.

At present the surf clam and lobster have been selected to receive primary emphasis in the Northeast Region under the State-Federal Fisheries Initiative. Center staff members will be called upon for scientific backup and support to the Region's State-Federal staff, and will participate as necessary and desirable in the meetings and conferences generated by the State-Federal staff. It will be important that close and continuing communication be maintained between the Center and the State-Federal group.

## B. UNIVERSITY RELATIONS

There are a number of mutual advantages in close association of the Center and its component units with various university faculty members and marine institutes. Probably the most significant is the presence in universities and university marine laboratories of expertise valuable to NMFS, and of programs of research closely related to those of NMFS. Good communication and in some cases cooperative studies should be fostered.

One excellent approach, with which we have had some success in the past, is that of small research contracts with universities, to support studies of individual faculty members or graduate students in areas important to our programs. Such contracts often serve to make experts and specialized studies available to us, and can serve as sources of future employees. Often too our staff members can present seminars, teach courses, take courses, serve on thesis committees, accept adjunct faculty appointments, and otherwise participate in academic affairs. Research contracts and resulting close interactions with universities located near our facilities are strongly encouraged.

An additional approach is close involvement with university groups supported by Sea Grant funds. The work supported by Sea Grant must have a practical orientation, and is often very similar to NMFS programs (as, for example, in mariculture, ocean pollution, estuarine ecology, and fish diseases). Since Sea Grant is now a part of NOAA, more effective liaison is possible. NMFS staff members usually participate in site reviews, and cooperative NMFS-Sea Grant projects have been proposed. There are a number of Sea Grant supported institutions or projects in our geographic area, including Virginia Institute of Marine Sciences, University of Maryland, University of Delaware, State University of New York, University of Connecticut, University of Rhode Island, and University of New Hampshire. We must be aware of the work going on under this funding, and we should attempt to develop cooperative programs, formal or informal, where possible.

### C. MARMAP

The Marmap program will soon become operational, and this Center will be a significant participant in it. Our initial active involvement in phase 1 (ichthyoplankton) will begin in the summer of 1972, and we will also be participating in planning for phase 2 (groundfish) and phase 3 (pelagic fish). Center Marmap coordinators for phases 1 and 2 have already been designated. Delaware II will be one of the major vessels for the survey, and our smaller vessels will also be involved in coastal aspects of the surveys.

A Marmap field coordinator and support staff have been named and are on duty at Narragansett. Our relationship with this group must be developed so that (1) we have an active role in cruise planning, (2) that our resource assessment objectives are considered in Marmap planning, and (3) that our professional staff is insured adequate scientific return for investment in Marmap.

#### D. NEW YORK BIGHT CONTAMINANT STUDIES

The most important multidisciplinary effort of the Center at present and in the immediate future is the New York Bight Contaminant Study. Our particular concern, and the basic reason for our involvement, is assessment of the possible effects of marine contamination on living resources. Many of the resources of the component units of the Center have already been focused on this study -- ecology, experimental biology, microbiology, pathology, and chemistry -- and expected increases in funding will permit even more extensive studies.

Several important steps have been taken. An extensive report on the effects of ocean dumping on the New York Bight area has been completed by Sandy Hook. This document will serve as a very important background work for most of our future efforts. Additionally, a Center coordinator for the New York Bight Study has been designated, and a series of bimonthly meetings with participants has been initiated.

It will be extremely important during the course of this work to carry on broadly based studies, but to keep in mind our basic mission -- determination of the effects of environmental degradation on living marine resources. It will also be important to make our information available to all interested groups and agencies in carefully structured ways. As scientists we have the responsibility to develop information and to draw reasonable conclusions from our data. As members of a federal executive agency we have an added responsibility of channeling public information through proper routes. Scientific information will as always be channeled through scientific journals. Since we will be dealing with highly charged and at times controversial public issues, we must be certain not to go beyond the confines of conclusions supportable by scientific data, but we should not hesitate to speak out on issues for which we do have adequate data.

Since many groups -- other federal agencies, states, and universities -- are also carrying on various kinds of studies in the New York Bight, communication and coordination are very important. We should encourage, and possibly be the prime movers in, attempts to set up a coordinating committee for New York Bight Studies -- possibly with an annual workshop meeting of active research people modeled on the Long Island Sound Conference.

### E. LONG ISLAND SOUND STUDIES

The New England River Basin Commission is supporting a Long Island Sound Study, beginning at a very low funding level in FY 1972. Several Center staff members have been named to serve on committees or to provide necessary background information. The full extent of our future participation is uncertain at present, but will be related to our interests in ocean pollution, thermal pollution, and living resources of the Sound. The Sound is by definition a part of the New York Bight, so it is within our area of concern. Additionally, we have had and will have research going on in the Sound in connection with dump site and thermal effluent studies.

An important aspect of the Long Island Sound Study will be close coordination among the many groups carrying on studies there. The annual Long Island Sound Conference has been an important but somewhat informal vehicle for communication. This conference has been and should continue to be strongly supported by us. The assignment of a staff of five to the Long Island Sound Study by the New England River Basin Commission will provide a more structured vehicle for communication, but should not supplant the annual conference.

## XII. PERSONNEL MANAGEMENT

A basic philosophy of the Center is that people will be treated as individuals, and that insofar as possible within organizational confines, their needs will be important to supervisory and management levels. Productive staff members deserve every consideration possible within the system in which we operate -- and this consideration applies equally to scientific and support staff. In turn, it is the responsibility of every staff member to do those things which will encourage and assure a high level of scientific productivity by the Center and its component parts -- and to be able to do so in a pleasant, cooperative, and stimulating work environment. Consideration, tact, and diplomacy must be vital ingredients of everyone's attitude on the job.

Effective personnel management practices require major efforts, particularly on the part of supervisors and managers, in a number of areas: position classification, employee performance evaluation, promotion policies, incentive awards, employee development, supervisory training, and employee motivation. Each area is considered briefly in following sections.

## A. POSITION CLASSIFICATION

Every employee should have a copy of an up-to-date position description outlining his duties, responsibilities and place in supervisory levels. At least annually, position descriptions should be reviewed and updated. Whenever job assignments change significantly, a new position description should be prepared. Work assignments and responsibilities, based on up-to-date position descriptions, should be reviewed orally in conferences between employee and supervisor at least annually, and preferably more frequently.

The position classification and duties assigned to an employee should reflect his training, experience, abilities, and job performance, within the confines of the grade structure, staffing pattern, and mission of the Center. If inequities exist, or are thought to exist, they should be discussed first with the supervisor, and then if necessary with the next higher level of authority.

## B. EMPLOYEE PERFORMANCE EVALUATION

Performance evaluation is a clear and unavoidable responsibility of every supervisor, but it is one which, in the absence of clear guidelines, is often delayed indefinitely in the crush of other supervisory responsibilities. Every employee is entitled to at least an annual evaluation of his progress and his deficiencies, with suggestions for improvement (where needed) from his supervisor. This annual review must not be passed off lightly nor treated casually by either the employee or the supervisor.

In addition to the more formal annual review and evaluation, but in no way supplanting it, should be frequent contacts and discussion with employees. Often in regular daily contact with employees some supervisors are unwilling to criticize or otherwise admonish -- and often, surprisingly enough, are unwilling to commend an employee who is doing a good job -- so that the employee really does not know his status, or how he is measuring up to the expected norms of the job. This state of affairs is totally unnecessary and intolerable.

Often performance evaluations are delayed indefinitely because the supervisor feels inadequate or self-conscious about confrontation situations. Often the supervisor really lacks the tact and diplomacy to do an effective verbal evaluation, particularly with average or below average employees, without antagonizing them. Rules and guidelines for successful verbal evaluations are available, and should be studied carefully by supervisors who feel uneasy about such situations. One successful approach is known as a "problem solving appraisal" in which the supervisor acts as a helper rather than a judge, encouraging the employee to participate in solutions to problems about his own career development.

One excellent approach to evaluation was instituted by the Bureau of Commercial Fisheries early in 1970. Every employee filled out a form (2-303) called "Employee Inventory/Career Development Plan." He then discussed the plan and the realities of his job with his supervisor. The form could then be used for later discussions, to see what aspects were or were not accomplished in the intervening period. Accomplishments could thus be evaluated against previous plans and stated goals. Unfortunately, this form was placed in limbo with the move into NOAA, and a promised new plan of job evaluation has not appeared. Supervisors are urged in the interim period to continue use of the form, or at least the approach to evaluation which it outlined.

### C. PROMOTION REVIEW BOARD AND PROMOTION POLICY

Employees of this or any comparable organization should be paid at a level commensurate with their training, experience and productivity. Steps to insure that this is the case, and to prevent imbalances, are fundamental responsibilities of supervisors and managers. Promotions should be based on established criteria and on adequate evaluation of the individual's contribution to the mission of the organization. Mere length of service in grade is not a significant criterion.

Review procedures (including promotion review boards) have been or soon will be developed for professional scientific as well as support staff, since both categories are vital to the success of the Center's mission. These procedures are not designed to replace the supervisor's responsibility to recommend promotions when warranted, but are rather designed to insure equity in promotion procedures, and to provide some standards against which job performance may be measured (see draft General Memoranda 10 and 11 in Appendix E).

During the past year (as at times in previous years) there has been a government-wide attempt to prevent any significant increase in the overall grade average. This has resulted in a slowdown in processing

promotion actions. We are still under such restrictions, and must submit requests for promotions in limited numbers and on a strict priority basis. The net effect has been and still is a delay in many promotion actions. Hopefully this situation will not persist indefinitely.

Promotions should be subjects of frank discussions between employees and their supervisors, without embarrassment. The annual performance evaluation should include consideration of this subject, but the issue can be raised as a subject for discussion at any time. Supervisors should indicate clearly what their expectations are in terms of employee job performance and standards of productivity.

Within the government service and in this Center, promotions are not automatic, nor are they derived from any given period of service. Within grade increases recognize satisfactory or average job performance, while promotions are given for sustained above average job performance or assumption of significant new duties and responsibilities.

#### D. INCENTIVE AWARDS

A system of incentive awards in the form of quality step increases or cash awards has been developed within the government service for noteworthy contributions by employees, in terms of high performance levels or significant suggestions for improvements in the working environment, on the job procedures, safety, etc. Often it seems that the incentive award program is not pursued vigorously enough -- supervisors often fail to recommend awards, or employees fail to submit suggestions. It is everyone's responsibility to make the program a success.

A Regional Review Board has been constituted to examine material submitted under the incentive awarded program, so action on submissions should be facilitated.

## E. CAREER DEVELOPMENT

One of the distinct advantages of the federal service is the broad spectrum of possibilities for career development. Possibilities for additional training during or after duty hours are numerous, and on-the-job training for new responsibilities is usually available. Among the types of training available and to be encouraged by this Center are courses in technical subjects at schools or universities on a part-time basis; full-time academic training under NOAA fellowships; short courses of from one day to several weeks in a variety of job-related subjects. Job-related training is available to all staff members.

Obviously, training assignments must be apportioned so that the operation of the organization is not severely hampered. Thus, for example, the numbers of staff members from any Center component in full-time training at any one time would have to be limited. Also, the timing of training of any length must not conflict seriously with pressing job assignments. These time constraints are general, however, and should not preclude the possibility of training at an alternate time.

From time to time, opportunity develops for special assignments at another Center, in the Regional Office, or in the Central Office. Such assignments are excellent devices to broaden horizons, to gain visibility in such higher echelons, or to investigate alternate career possibilities without full commitment. No one should be forced to accept such assignments, but they should be carefully considered when opportunities arise.

Among the scientific staff, opportunities arise to serve on committees, to attend workshops, to go to Washington on special assignments, or to participate in working parties to prepare proposals or background documents. The advantages of such service should not be minimized, but should be weighed against the loss of productive research time. Career plans of individual scientists vary to the extreme -- some enjoy and welcome administratively-oriented responsibilities and eventually elect to take positions which remove themselves from research; others prefer to remain in active full-time research, with a minimum of administrative-supervisory responsibilities; still others elect to follow a middle course, combining active research with non-research responsibilities. The options are up to the individual, but the steps in any direction are incremental rather than instantaneous. The rewards, in terms of salary, should be equivalent, even though at times it seems that those who opt for administrative duties move up the grade scale faster.

## F. SUPERVISORY TRAINING

Most organizations seem to operate most effectively when subdivided into groups with particular job assignments. Such groups are responsible for segments of work, and each usually has one individual at its head. This individual is given authority as well as responsibility, and he or she is designated as a supervisor (although other working titles may be used).

Management has the responsibility of identifying and appointing effective group leaders or supervisors, and must also provide training in supervisory functions. There are many aspects of a supervisory role that can be improved by proper training. Good supervisors need to have basic attributes such as concern for people as people, a high degree of technical competence, ability to make correct evaluations and decisions, and ability to teach others effectively and to learn themselves.

Often the complete spectrum of desirable attributes does not exist and is not acquired magically on the day a person begins to supervise others. Training can assist people to become more effective supervisors, hence supervisory training is of importance to this or any organization.

This Center will encourage supervisory training by encouraging or requiring participation in short courses (now mandatory for all new supervisors within one year of appointment), and by an irregular series of seminars on a variety of subjects of importance to good supervision. It may be feasible to conduct at intervals short courses for supervisors at a Center facility (taught by Civil Service Commission staff).

Scientists who serve as supervisors (either as Investigation Chiefs or Project Leaders) will still be expected to carry on effective research. They must play a dual role of supervisor and productive scientist, and hopefully they will be measured by their success in both arenas simultaneously. The ability to handle both roles successfully is to some extent a learned activity, but it does require large doses of good judgment and effective use of time.

## G. EMPLOYEE MOTIVATION

A research laboratory is somewhat unique in that its products are of direct personal concern to the professional staff members. Such products -- scientific publications -- bear the author's name and are subject to scrutiny, approval, or disapproval of peers in the scientific community as well as of supervisory levels within the organization. Thus scientists as a group are usually highly motivated to do excellent work, if provided with adequate environmental support in terms of equipment, library, technician assistance, and sympathetic scientific management.

The support staff in scientific laboratories sometimes shares to some degree the excitement and satisfactions of scientists in producing a significant piece of research and writing. This is often true of technicians and aids who work closely with scientists, but is less true of support staff members not directly involved in research activities. Since successful research efforts are founded on effective dedicated job performance by a wide spectrum of people, scientists and non-scientists, it is important that job satisfactions be available to all involved. This is a major

function of managers and supervisors, and can be particularly important when support staff is concerned. Motivational factors leading to good job performance are diverse, and variable in importance from individual to individual. High on the list for most people are such factors as adequate salary, recognition of work efforts by supervisors, pleasant work environment, adequate career ladder, and possibilities for training. Often a disparity exists between a staff member's expectations and what is possible within the organization. A knowledgeable sympathetic supervisor will attempt to reduce the gap produced by encouraging the development and improvement of capabilities and work performance levels of staff members for whom he is responsible. He will not, however, make promises or commitments which cannot be met.

A major problem in employee motivation at present is the extreme shortness of the career ladder in a number of positions. A new Ph. D. research man can now start at a relatively high grade level, but his rate of progress beyond GS-13 will be very slow unless he is truly outstanding or unless he accepts supervisory responsibilities. As another example, a clerk-typist starting at GS-3 level may be promoted to GS-4 within a reasonable time, but movement beyond the GS-5 level in field installations is

extremely difficult. New employees rarely have adequate comprehension of this problem, and long-term employees may become increasingly frustrated by it. Good solutions are few and not entirely satisfactory -- one would be to do such exceptional work that it cannot be overlooked; another would be to move to an organization offering a higher pay scale; still another would be to accept Regional or Central office positions where the upper horizons in grade structure are somewhat higher.

This Center will do what it can to develop and maintain adequate motivational factors, but the realities of grade structures and staff size in field installations must be faced and accepted.

## H. EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The concept of equal opportunity without regard to race, color, creed, sex or national origin has been a part of the federal government's employment policy for many years, and is a significant aspect of the policies of this Center.

The present and continuing need is affirmative action by all levels of management and supervision to make the concept a reality. We must continue to extend efforts to every aspect and in all areas of equal employment opportunity including, but not limited to recruitment, training, and career development.

This imposes upon all of us a duty to continue effective steps toward the implementation of an effective program which will insure positive action in all segments of our employment policies and practices. We should critically reappraise our occupational structures to provide entrance opportunities and advancement by on-the-job training and career development. Essential objectives are employment patterns providing equal opportunity for all.

Managers and supervisors must become personally, as well as officially, involved in making these concepts an urgent part of all management and personnel policies, procedures, and practices throughout the organization. It is only by such dedication that we can realize the high goals and clear policy directives of Executive Orders which provide for equality of opportunity regardless of race, color, creed, sex, or national origin.

Some specific areas for action include the following:

(1) Orientation Program for Center Personnel

Underlying the success of the Equal Employment Opportunity Program is accepting and understanding the program by all employees.

(2) Position Management and Classification

Inadequacies of the labor market and objectives of the Equal Employment Opportunity Program demand increased attention to job redesign and manpower utilization. Too often employees may be spending disproportionate amounts of time on tasks which do not properly utilize their specialized training and talents. Occupations

should be examined to identify those which offer opportunities for shredding out subprofessional and nontechnical tasks to that less skilled manpower may be employed. These possibilities should be explored in all occupational studies, especially in qualification standards and staffing patterns.

(3) Recruitment, Placement and Utilization

To insure equal employment opportunity, it is essential to apply realistic qualifications and evaluation procedures and recruit minority group members, including women, for positions at all grade levels and for all occupations.

(4) Training

In view of the close relationship between training and subsequent opportunities for advancement, specific attention to training at the lower grade levels must be given first priority. Continued review of training needs for employees at all grade levels is also essential.

(5) Individual Personnel Development

Many employees possess capabilities and potentialities which could contribute to the accomplishment of our goals. The concept of equal opportunity in training and development must be backed by counseling and guidance which will help the employee to assess potentialities and which encourage development of them. The role of the supervisor must be marked by assistance and encouragement.

(6) Enhanced Professional and Technical Opportunities

Major job opportunities in this Bureau are in a wide range of scientific and related disciplines. Encouragement and help should be provided for qualified but disadvantaged students, including women, interested in these fields.

(7) Participation in Community Affairs

Community conditions and attitudes bear on an individual's employability and tend to deprive otherwise qualified individuals of opportunities. Employees may voluntarily participate as private citizens in lawful community activities aimed at improving the employability of all citizens.

To provide greater understanding of the federal government's EEO program, Department of Commerce Administrative Order 202-713, NOAA Administrators Letter No. 5, and a statement of procedures regarding complaints are included in this document as Appendix G.

## I. LABOR MANAGEMENT RELATIONS

Research laboratories should, by their very nature, be pleasant as well as productive places in which to work. The most effective results in this or any organization are obtained when each staff member, regardless of his role, makes his maximum contribution, and is recognized for this contribution. Occasionally, however, problems develop, communications break down, or other incidents occur (as they do with any large group) which require the establishment of procedural guidelines. Some initial guidelines follow, and others can be developed if the need arises:

1. Established supervisory channels should be followed in day-to-day operations. An employee discusses with his supervisor job-related problems, and offers suggestions for improving productivity or the work environment. The supervisor regularly discusses work assignments and progress with the employee, and attempts to solve job-related problems which arise. Normal lines of communication in both directions are through the immediate supervisor. However, all employees have access to the next higher supervisory level if discussions with the immediate supervisor do not resolve a problem.

Discussions with the immediate supervisor must precede recourse to higher supervisory levels, and normally the immediate supervisor would participate in any further discussions involving an employee and higher supervisory levels.

2. Hopefully, adequate two-way channels of oral and written communication, operating in an environment of cooperation and goodwill, will help to resolve most questions and problems which develop. Occasionally, though, problems will arise for which the Center will have little if any control. These may involve current or long-term practices and restraints at Regional, Central Office, NOAA, or Commerce levels. Attempts to resolve such problems will be made by the Center Director thru the appropriate supervisory channel (which in the case of this Center is the Regional Director).

3. Federal employees are not always familiar with their proper roles concerning union activity. Specific and detailed rules and regulations have been developed about union activity by federal employees. Most of these are available on request from the Administrative Officer. In technical terms, employees have the right to organize, join, or assist any employee organization -- or to refrain from any such activity. In the exercise of this right -- pro or con -- employees

must be free from any restraint, interference, coercion, discrimination, or reprisal. No supervisor will attempt to influence in any way -- positively or negatively -- the decision of an employee under his supervision to join or not to join a union.

Membership or non-membership in a union by an employee must not be allowed to influence in any way the attitudes of the supervisor toward the employee. Activities related to unions, except for those specifically stated in government regulations, must without exception be conducted outside of working hours.

### XIII. COMMUNICATIONS

Development and maintenance of effective continuing communications will be one of the most critical and important activities of the Center. Written and verbal communications of all types are especially vital to the integrative responsibilities of the Center, particularly in view of the geographic dispersal of facilities. Key forms of communication (but by no means all forms) include (1) reports and publications; (2) meetings of Directors of Investigations and Administrative Officers; (3) meetings of Investigation staffs; and (4) Policy statements and Center memoranda. Each is discussed in following sections.

Informal communication among individual research staff members, regardless of geographic location within the Center, is strongly encouraged. Thus staff members should feel free (with, of course, concurrence of their supervisor -- Investigations Director or Investigation Chief) to visit staff members in other facilities doing related research. The same guidelines would apply to contacts with individual research people outside the Center but within reasonable travel distance, whether they be in other federal laboratories, or university laboratories.

In a similar way, communication with the scientific community, user groups, or other federal, state and university groups, thru participation in regional, national and international meetings, conference, symposia, and workshops, should be encouraged -- within the constraints of budget, time away from research, and relevance of the particular meeting. Active participation in such meetings, and in the affairs of professional societies, provide good visibility for the Center's programs and accomplishments, and are a normal part of a scientific career. Each professional staff member should be able to participate annually in at least one regional or national meeting, and he should also expect to discuss his area of research in seminars, talks to civic groups, etc.

Communication is a responsibility of every staff member, regardless of his job. All employees should feel perfectly free to discuss job-related problems with their immediate supervisor, and to transmit to him or her any ideas or suggestions which will improve the productivity or environment of the laboratory. Conversely, supervisors should discuss job-related problems, and should make suggestions about work assignments and performance, to all employees on a regular basis. Normal lines of communication in both directions

are through a person's immediate supervisor, but all staff members have access to the next higher level of supervision if a problem seems unresolvable in discussions with the immediate supervisor. Discussions with the immediate supervisor must precede any recourse to higher supervisory levels, and normally the person occupying that next level will expect the immediate supervisor as well as the employee to participate in any further discussion.

Our communications relationships with Washington are complex in some ways. Often the field will be called directly for some piece of scientific information, but normally communications from the Central Office will reach us through proper Regional and Center channels. Occasionally, information is required on short notice, and here verbal requests may come through the same channels, and replies should follow similar routes. If deadlines are extremely short, you may be asked to bypass part of the route and respond directly to a Central Office staff member. Information copies of such responses should be provided to the Center.

## A. REPORTS AND PUBLICATIONS

A variety of reports has been and will continue to be expected of research and administrative staff members. Among the more important research reports are monthly, quarterly, and annual reports. As in the past, basic material and contributions to these reports will be expected from members of the research staff, particularly Investigation Chiefs and Project Leaders. Directors of Investigations are responsible for editing, modifying, amplifying, contracting, and assembling reports from the Investigations under their direction. Such materials will be submitted on a timely basis to the Center for further editing, and will be assembled for submission to appropriate higher supervisory levels within scheduled deadlines. Annual reports in summary form, or in detail with appropriate illustrative material, will be expected, although the form of publication of annual reports is not certain at present.

Administrative reports, which seem to be increasing in numbers, will be submitted by the Center, but in most cases will consist of a compilation or integration of material provided by the facility Administrative Officers and Officers-in-Charge. Deadlines for submission of such reports will be met conscientiously, which means that material from the separate facilities must be provided on a timely basis.

Insofar as published material is concerned, research staff members have a dual responsibility: (1) to make the results of their work known to the scientific community through publication in scientific journals; and (2) to interpret their information and conclusions in publications read by the general public, the fishing industry, environmental groups, fishermen, and a host of other non-scientific but interested laymen. An important corollary to publication, both scientific and popular, is oral presentation at scientific meetings, workshops, conferences, symposia, conservation meetings, sportsmen's club meetings, etc. As a general rule-of-thumb, for which there may be a variety of exceptions for good cause, it seems that a minimum average annual production level by a full-time research staff member would be one major and one minor scientific paper, significant contribution to one popular article, and at least one oral presentation at a scientific meeting. As GS levels are ascended, even with the addition of supervisory responsibilities, publications and oral presentations should increase accordingly.

## B. CENTER MEETINGS

A very important means of communication will be a schedule of bimonthly meetings of Center Directorate with all Directors of Investigations. Significant aspects of such meetings will be research planning and evaluation, promotion review, funding review, and status reports on research in progress. Coordinators of interdisciplinary projects may be called upon to present reports. Meeting location will rotate among Center facilities, and research staff members at the facility may be asked to give reports of progress in certain areas of study.

Meetings of Center Administrative Officer and Facility Administrative Officers will be held during every other bimonthly Center meeting, or more often if necessary. This group will meet separately for part of the session, then jointly with Directors of Investigations for part of the session.

Special meetings of participants in Center interdisciplinary projects may be called by the Project Coordinator or the Center Director. Such special meetings may precede or follow the regular bimonthly Center meeting, or they may be held at other times. At present, for example, a meeting of participants in the New York Bight Contaminant Study is held on the day before each scheduled bimonthly Center meeting.

For all group meetings it is important that some written record of significant material be maintained. Normally this will consist of summary notes which will be typed and distributed to all participants within two weeks after the meeting date. Such notes should include particularly conclusions or decisions reached as a result of discussions, and plans of action decided upon.

### C. MEETINGS OF INVESTIGATION STAFFS

Regular meetings of Investigations staffs, at times and intervals determined by the Director of Investigations, are strongly encouraged. The need for such meetings is particularly great in cases where component units are geographically separated, but a need for verbal communication and interchange of ideas and information always exists, regardless of the physical situation.

Meetings of separate Investigation staffs may also be desirable, and plans for such meetings should be made in discussions between the Investigation Chief and his Director of Investigations. Such meetings may be held periodically or irregularly, depending on need. If regular meetings are scheduled by the Director of Investigations there may be less need for frequent or regular meetings of the separate Investigations.

#### D. POLICY STATEMENTS AND GENERAL MEMORANDA

Regulations and guidelines are promulgated by various governmental levels -- Civil Service Commission, Department, NOAA, NMFS, Regional -- but there are a number of field operational areas where discretion is feasible, and where some attempt at standardization among the Center components is desirable. In an attempt to provide guidance and uniformity, a series of Center general memoranda, often indicating policy, have been and will continue to be developed. An initial core will consist of statements on such matters as principles of research, correspondence, supervisory responsibilities, leave, academic training, etc. Later memoranda will concern almost any discretionary area for which some statement of policy or attempt at clarification would seem important.

General memoranda which have been developed to date encompass the following subjects: supervisory responsibilities, general statement of principles, academic training, special studies unit, student employment, correspondence, and administrative procedures. Copies of each of these are attached as Appendix E. It may be necessary in the future to modify or augment some of these, so they must be considered working documents. Additional subjects to be covered in future memoranda include publication policy, leave, travel, manuscript review, work performance evaluation, and other topics as needed.

#### XIV. FUTURE PROGRAMS AND PLANS

While the horizon gets very hazy beyond the next fiscal year, there are a number of expansion areas which may be identified now. Not all will materialize, of course, and new research areas not now identifiable may emerge. Much depends on the kind of funding we receive in the future (although the funding in turn is partly determined by the impact that we make on problems which now confront us).

Certain marine contamination, and particularly the effects of man-made degradation of the inshore environment on living resources, will continue to occupy much of our efforts for the foreseeable future. It is probable that NMFS will be joined in a major way by other NOAA components for an integrated study of the New York Bight. NMFS will probably continue to be the lead agency in the study, but there will undoubtedly be greater coordination at higher NOAA levels.

Areas of particular competence within the Center are numerous, and to single out only a few might be a disservice to others, but certainly marine microbiology, pathology of marine organisms, and genetics of marine animals are among those which should be pursued vigorously. The multidisciplinary area of aquaculture will also be important, once we have developed an effective working arrangement with Sea Grant aquaculture groups, and once funding exceeds present very minimal levels.

Resource assessment in the Middle Atlantic Bight -- concentrating on coastal fish and shellfish populations -- is a formidable but very necessary task of the Center, and one which will occupy much effort over a number of years. With current focus on resources, regardless of whether they are utilized by sport or commercial fishermen, there is an opportunity now, more than ever before, to develop a comprehensive understanding of this very productive part of the Atlantic Shelf.

## FACILITIES

With the completion of the refurbishment of the original Milford laboratory building, the next major facility projects must be replacement of the wharf at Sandy Hook, refurbishment of the Sandy Hook facility, and eventual construction of a new laboratory at Sandy Hook.

With the advent in the foreseeable future of the Gateway National Park, which will include all of Sandy Hook, it is possible to think broadly about a major new marine science center as a significant component of the park. We envision the facility as housing our federal fisheries research and administration, with public display areas and areas for state and university marine research -- all with combined auditorium and meeting room facilities.

APPENDIX A

CENTER DIRECTOR: POSITION DESCRIPTION

## APPENDIX A

### Center Director: Position Description

Introduction: Incumbent serves as Director of the Middle Atlantic Coastal Fisheries Center, NOAA-NMFS. The Center is housed in several facilities, together comprising the coastal research effort of the National Marine Fisheries Service in the Middle Atlantic coastal area of the United States. The Center investigations, with supporting physical and chemical oceanographic and hydrological and estuarine activities, conduct resource and environmental quality research on living marine resources over broad zoogeographic areas in terms of the total ecological context thereof, in cooperation with ocean- and atmosphere-oriented NOAA agencies, with similarly involved domestic Federal, State, and academic groups and with appropriate research institutions in foreign countries.

Incumbent exercises line authority in the operations of the Center. He is responsible for exercising dynamic, critical and creative scientific judgment and leadership, attaining a high level of inter-laboratory technical coordination, and developing an effective administrative management of the NMFS research programs associated with five major research units of the Center: Ecosystems Investigations, Resource Assessment Investigations, Experimental Biology Investigations, Pathology Investigations, and Aquaculture Investigations.

The Research Situation (General):

The Research Center concept in NMFS recognizes, and provides an appropriate response for, the need to study living marine resources in terms of their total ecological context: species to species interactions, environmentally induced stresses of physical, chemical or physiological character, availability and suitability of food supplies, predator-prey relationships, metabolic needs and processes; relative abundances; growth, reproduction, distribution etc.

Typically, the Research Center will consist of an integrated complex of scientific disciplines, usually stationed in geographically separated facilities, whose common mission is the development and prosecution of research programs calculated to elicit information necessary (1) for management of living marine resources, (2) for the alleviation of resource-damaging man-made environmental degradation over broad zoogeographic areas, or (3) for clarification of other operant biological "systems," physical, chemical or physiological, which are broad in scope and complex in nature.

Technical supervision is non-existent. Much of the Center's work is of a pioneering nature, guidelines and precedents are scanty at best, and a high level of creative and adaptive ability is required. Incumbent's technical competency must be judged on the basis of his general reputation among his scientific peers in this and in other countries. The incumbent develops approaches to problems and is responsible for details of planning, methodology, coordination and evaluation of progress in work assignments. Findings and conclusions of the incumbent are considered authoritative and are reviewed in conference with a supervisor and form the basis for subsequent actions by the latter and by the United States Government.

Supervision Given:

Incumbent is responsible for the activities of approximately 200 highly trained professionals, technicians and support staff engaged in the work of the Center. Supervision is exercised through several key people who are typically, at the GS-15 level.

Other Significant Facts:

Incumbent serves on various permanent and ad hoc interagency, Federal-State, and Commission committees. Serving on these committees requires a thorough and up-to-date knowledge of marine fishery and biological science, a clear understanding and acceptance of Federal and NOAA policies

and missions, the ability to communicate, orally and in writing, with other scientists and policy-makers, both domestic and foreign, and especially to perform competently and diplomatically at meetings of representations of various areas of the United States and/or of other nationalities where handicaps of language and cultural barriers or of different economic or social points of view must be surmounted to get on with the business at hand. Additional requirements are (1) the ability to participate fully in keeping and evaluations of minutes, (2) in the formulation and preparation of statements and reports under pressing deadlines during local, national and international meetings, (3) preparation and publication of technical papers in scientific journals, (4) presentation of technical papers at scientific meetings, (5) participation in and exercise of leadership in preparation of background papers for use by the U. S. Government in domestic and international negotiations, (6) ability to make oral reviews and critiques of research results at meetings of State-Federal fisheries agencies and of sport fishing and commercial fishing representatives. Incumbent will represent Regional Director and Director at certain important meetings. Incumbent will work closely with Regional Water Resources Staff.

Personal Qualifications:

As a Research Administrator, the incumbent must be able to correlate an extensive technical background and experience in fields related to fishery biology with an expert knowledge of policy and procedural requirements. He must have a thorough understanding of the problems

of coastal fisheries and the ability to develop programs to meet those problems. He must have a detailed knowledge of the American fishing industry and marine fisheries research and development. He must be thoroughly informed on research results and progress made in other government agencies, industry, and educational institutions within the United States and foreign countries, and assure that up-to-date information of significance is applied to the research programs under his direction. The incumbent must possess the qualities of tact, diplomacy, discretion, and persuasiveness for the successful conduct of the Center's program.

The incumbent should be recognized and accepted as an authority in several areas of fisheries research, and should be well-known to the international fisheries research community. Additionally, he should have demonstrated capabilities in broad areas of thinking in marine research matters. Continued interest and participation in active areas of research, or in synthesis of information in fisheries research, will be expected, as will continuing publication in specialized or broad areas of fisheries research.

The incumbent should have attained, and will be expected to continue, positions of leadership in scientific and technical societies. Of particular importance are roles as organizer and chairman of meetings, colloquia, and symposia; chairmanship of committees of scientific societies; roles in the affairs of scientific journals; and roles in the activities of advisory committees on fisheries and environmental matters.

The research situation is, therefore, unique and leadership responsibilities are commensurately onerous in that no organized precedents or guidelines exist and in that the utmost in good judgment and tact in scientific insight, originality and theoretical knowledge is required to guide researchers in selection of tasks to assign priorities among tasks.

Nature of Research Assignments (Specific):

The incumbent will be responsible for planning, integrating, and evaluating effectiveness of research programs in broad areas of coastal living resource utilization. Of particular immediate concern are effects of man-made environmental changes on living resources. He may participate actively in aspects of research of his choice, and he should continue writing and oral expression in general areas of coastal resources. He should act as authoritative spokesman for broad research areas included in the Center's various programs.

Supervision Received:

Immediate supervisor is the Regional Director, Northeast Region. Major mission activities of the incumbent are developed in conference with the immediate supervisor. General plans of action, conforming with established NMFS-wide policies, are agreed upon.

APPENDIX B

CENTER ADMINISTRATIVE OFFICER: POSITION DESCRIPTION

## APPENDIX B

### Center Administrative Officer: Position Description

Background: As a result of reorganization, the Middle Atlantic Coastal Fisheries Center was established and will function under direct line authority of the Center Director. The Center is composed of a directorate, an associated centralized administrative unit led by an Administrative Officer, and five major research units, each headed by a Director of Investigations. The Center is to develop, establish, and to prosecute aggressively, and in an integrated manner, cooperative multi-disciplined research programs on the biology and ecology of the living coastal organisms of the North Atlantic Ocean. Staffing of the laboratories includes: directors, professional research personnel, administrative officers, technicians, administrative staff, maintenance staff and vessel employees.

The purpose of this position is to relieve the Center Director of many non-technical administrative duties, assist and advise on all business management matters pertaining to various programs including planning and budget, fiscal, procurement, property, payroll, personnel and other staff services. To meet the needs of this position he will be

assisted by laboratory Administrative Officers, secretaries and other subordinate technicians qualified in the various categories such as budget and fiscal, personnel, procurement, property and payroll. As directed he will advise and assist Director(s) of Investigations by supplying the administrative support and control they require in establishing and conducting their research programs.

Research: He will serve as a member, ex-officio, of the Center Research Council. As necessary he will accompany the Center Director during site visits for the purpose of coordinating administrative needs for both current and future activities. He will act as coordinator of all non-technical administrative activities at the Center and Laboratories.

Budget & Finance: He will have primary responsibility for financial controls for all components of the Center. He will develop and be responsible for all necessary administrative reports emanating from the Center and the field. He will consolidate and summarize them as directed by the Center Director.

Assists the Center Director with budget planning by providing reliable cost data covering salary, equipment, and non-personal services and overhead needs; discusses needs of the Laboratories; counsels and assists in the preparation of the budget. Upon receipt of approved operating cost schedules, assists in the allocation of funds as directed by the Center Director.

Keeps Center Director periodically informed on the status of funds allocated and of the need for adjustments to meet unforeseen expenses or variations in costs of equipment, salaries and contracts. Insure conformance with quarterly apportionments. As directed, submit fiscal analyses to Center Director. Supervises the maintenance and preparation of all fiscal and cost accounting records in accordance with established procedures. Prepares breakdown of expenditures and other obligations as required.

Periodically reviews practices and procedures of administrative officers at the laboratories to insure compliance with established policy and regulations in the processing of vouchers, invoices, purchase orders, travel vouchers, etc.

Procurement & Property Management: In compliance with laws, regulations and policies of Central Office, Regional Office and Center Director, establish and supervise procurement procedures of Center components. Modifies and changes procedures when necessary to better serve the needs of the using unit where there is no conflict with existing administrative restraints. Assist Facility Administrative Officers, Officers-in-Charge, and Directors of Investigations in interpreting directives, laws, regulations and established policy concerning procurements. Will insure that all procurement complies with delegated open market authority.

Reviews field-generated requisitions to insure they meet necessary administrative needs and are outside his delegated procurement authority to submitting to Center Director for approval.

Insures all property of the Center and its components is properly received, recorded, maintained and utilized in compliance with existing laws, regulations and directives. As necessary will assist in the conduct of annual inventories and periodic inspections.

Personnel Management: Reviews recommendations for appointments, promotions, reassignments and separations for personnel, approved by Center Director, and ascertains that positions are properly identified or described, that job descriptions meet the requirements for the grade recommended, ascertain that funds and position ceilings are available, within the established pattern for the Center.

Assist Directors of Investigations, as required, in orienting and counseling new members of the Laboratory Staff pertaining to employee rights, privileges, benefits and regulations governing conduct and outside activities, etc. May administer oaths for appointment affidavits. Acts as advisor to Center Director in labor management practices and participates in Union negotiations for the Center.

Assists Facility Administrative Officers in the proper preparation and reporting of personal accident and motor vehicle accident forms. Is responsible for timely submission of applicable CA, DI and Standard Forms.

Acts as advisor to Center Director and assists Center personnel in fulfilling established training program of the Center. Makes recommendations to Center Director concerning training program and keeps him up to date on changes in regulations, Central and Regional Office policy.

General: Assumes responsibility for efficient communication systems such as mail, telephone and intercommunications. Is responsible for temporary assignments of clerical personnel as necessary to meet peak workloads or whenever such adjustments can be expected to result in increased economy or efficiency. Is responsible for meeting established deadlines for submission of reports, forms, data, etc.

Advises the Center Director on matters concerning operation of the station and laboratory administrative policies, including interpretation of agency regulations and directives. Prepares memoranda of instructions and information pertaining to administrative matters for distribution to Center personnel. Prepares and/or supervises preparation of reports, memoranda, letters, etc., to Regional and Central Offices, other agencies, private sources, regarding administrative matters. Frequently contacts Regional and Central Office personnel on administrative matters and works directly, when required, with Laboratory supervisory personnel.

Participates in Laboratory conferences regarding operational and administrative matters. Identifies problems involving administration and suggests possible solutions. Takes an active role in personnel recruitment including work with other government agencies and affiliates.

Will assume over-all responsibility for the proper execution of house-keeping and maintenance activities of the Center and component laboratories with day-to-day operational responsibility assumed by assigned administrative officers.

Will review all administrative documents submitted by facility Administrative Officer prior to submitting them to Center Directorate for approval or forwarding to higher authority.

Assist Center Director in preparation and review of proposed research and development contracts for compliance with administrative requirements such as proper distribution of cost, compliance with approved staffing pattern, submission of all necessary forms and maintaining up-to-date file on all contracts. Assist Center personnel in preparing initial submission by furnishing such information as operational, labor cost, overhead cost and applicable regulations and directives.

Supervision received: Works under general direction of the Center Director.

Because of the variety of duties involved, has considerable latitude for personal decisions and unreviewed action in planning and carrying out his work assignments in conformance with government and Center procedures established by higher authority. Where procedures are not spelled out, incumbent must rely on past experience and personal judgment. Position requires good working familiarity with procedures and regulations established by the higher authority pertaining to administrative matters. Makes personal contacts in a variety of routine and special administrative functions in both private and government sectors in the interest of the Laboratory.

Supervisory Responsibilities: Advises an administrative staff of three administrative officers and directly supervises a Center clerical staff. Will perform as coordinator of all non-technical administrative activities of the Center and component laboratories insuring that administrative support meets the needs of the individual laboratory and Officer-in-Charge of said Laboratory while, at the same time, complying with sound administrative practices. The Center Director will specifically delegate those responsibilities which will free him of certain administrative duties.

APPENDIX C

FACILITY ADMINISTRATIVE OFFICER: POSITION DESCRIPTION

## APPENDIX C

### Administrative Officer (facility) -- Position Description

Background: As a result of reorganization, the Middle Atlantic Coastal Fisheries Center was established and will function under direct line authority of the Center Director. The Center is composed of a directorate, an associated centralized administrative unit, and five major research units. The Center is to develop, establish, and to prosecute aggressively and in an integrated manner, cooperative multi-disciplined research programs on the biology and ecology of the living marine coastal organisms of the North Atlantic Ocean. Staffing of the facilities includes: Directors of Investigations, Investigation Chiefs, professional research personnel, administrative officers, technicians, aides, administrative staff, maintenance staff and vessel employees.

The purpose of this position is to insure all non-technical administrative requirements of the component laboratories are met thereby relieving the Officer-in-Charge or Directors of Investigations of this responsibility. Duties will include participating in program planning, fiscal procurement, property, payroll, personnel office services and be responsible for expediting work programs with the assistance of subordinate clerical and technical personnel

Budget and Finance: Assists the Officer-in-Charge and Directors of Investigations with budget planning and providing reliable cost data covering salary, equipment, and non-personal services and overhead needs; discusses needs of the laboratory, and counsels and assists in the preparation of the budget in final form for submission to the Center Director. Assists in the allocation of funds as approved by the Center Director. Keeps Center Director and Directors of Investigations periodically informed on the status of funds allocated and of the need for adjustments to meet unforeseen expenses or variations in equipment, salary and contract costs, and conformance with quarterly apportionments. Submits monthly fiscal analysis to Center Director. Supervises the maintenance and preparation of all fiscal and cost accounting records in accordance with established procedures. Prepares breakdown of expenditures and other obligations as required.

Reviews travel vouchers submitted by laboratory staff, billings from other Federal agencies or establishments and private sources to insure that the goods or services received are proper. Examines for accuracy, legality and compliance with regulations vouchers, invoices, purchase orders, bills of lading, etc., and certifies and approves accounting documents prior to submission to regional office for payment.

Procurement: Is responsible for procuring laboratory and office equipment, supplies and services by both formal and informal bid procedures. Reviews requisitions and purchase orders for purchase of supplies, equipment and services, prior to submission to Center Directorate, to determine necessity, availability of funds, conformance with established policies and procedures, open market limitation, established contract and supply sources. Prepares drafts of bid invitations for purchase or lease of equipment, supplies, etc. Confers with representatives on utilization of their products, manufacture of special gear and equipment as required for operation and maintenance of Laboratory and facilities, by teletype or correspondence. Contacts Area Utilization Officers of excess property whenever necessary to ascertain availability of supplies and equipment needed for building improvement and vessel operations, inspecting such items as required.

Property Management: Is responsible for the receipt, inspection and recording of equipment, maintenance of stocks of required supplies and materials, maintenance of property lists and the conduct of inventories when required. Recommends disposition of equipment not being utilized or of obsolete or unsafe equipment. Supervises the maintenance of all property records insuring that they are kept on a current and accurate basis.

Personnel Management: Reviews recommendations for appointment, promotion, reassignment and separation of personnel, approved by Directors of Investigations, and ascertains that positions are properly identified or described, that recommended candidate appears qualified, funds and ceiling positions available, citizenship, age, veteran's preference, and other applicable requirements are met and that the proposed action will otherwise permit orderly processing by Center. Prepares position descriptions for clerical and unclassified personnel, together with justifications for personnel actions. Assists Officer-in-Charge and Directors of Investigations as required, in orienting and counseling new members of the office pertaining to employee rights, privileges, benefits, regulations governing conduct and outside activities, etc. Insures that all forms required in connection with personnel actions are promptly prepared and forwarded to the Center Director. Supervises the proper recording of attendance and leave of laboratory staff. Assumes responsibility as station motor vehicle driver's examiner and for the proper issuance, recording, and distribution of forms related thereto. Assists employees in the proper preparation and reporting of personal accident and motor vehicle accident forms. Is responsible for timely submission of applicable CA, DI and Standard Forms to the Center Director.

General: Assumes responsibility for an efficient communication system such as mail, telephone and intercommunications. Is responsible for temporary assignments of clerical personnel as necessary to meet peak workloads or whenever such adjustments can be expected to result in increased economy or efficiency. Is responsible for meeting deadlines established by the Center Director, Officer-in-Charge, regional and central offices, for the submission of reports, forms, data, etc.

Advises the Officer-in-Charge on matters concerning operation of the station and laboratory administrative policies, including interpretation of the Bureau and Departmental manuals. Prepares memoranda of instructions and information pertaining to administrative matters for distribution to laboratory personnel. Prepares and/or supervises preparation of reports, memoranda, letters, etc., to Center Director, regional and central offices, other agencies, private sources, regarding administrative matters.

Supervisory Responsibilities: Supervises an administrative staff as assigned. Provides general and detailed supervision, as required, reviewing work for completeness and accuracy, rating for performance, approving leave, recommending promotions, reassignments, etc. Bears special responsibility in assuring satisfactory discharge of dual responsibilities: to Center Directorate, to OIC of facility and to individual Directors of Investigations.

Supervision received: Works under general supervision of the Officer-in-Charge insuring his administrative group meets the administrative needs of the Directors of Investigations or Officer-in-Charge of his assigned station.

Because of the variety of duties involved has considerable latitude for personal decisions and unreviewed action in planning and carrying out his work assignments in conformance with government and laboratory procedures and where procedures are not spelled out relies on his personal judgment. Position requires good working familiarity with procedures and regulations established by the Center, Regional and Central Offices pertaining to administrative matters.

APPENDIX D

STATE-FEDERAL FISHERIES MANAGEMENT INITIATIVE

## APPENDIX D

### State-Federal Fisheries Management Initiative

#### Summary

The purpose of this proposed program is to work toward a coordinated State-Federal program designed to improve the management of fish resources so as to achieve the appropriate allocation of these resources among competing users.

The basic emphasis of this program is to solve the root problems of the fishing industry and to set the stage for the development of an economically viable industry.

This will be accomplished by developing the proper NMFS philosophy and organization to work jointly with the States and industry to implement a fishery-by-fishery management program designed to conserve the resource, mitigate important sport-commercial conflicts, and inhibit the proliferation of excess labor and capital in the commercial fishing industry.

Mission

To establish a coordinated State-Federal program designed to improve the management of fish resources so as to achieve the appropriate allocation of these resources among competing users and provide the legal-institutional environment for the development of a viable commercial fishing industry and maximum recreational opportunities.

The harvesting segment of the commercial fishing industry has generally been in continual economic difficulty over the past two decades. The fleets in certain of our important fisheries have deteriorated to the extent that the vessels can no longer be considered as efficient, seaworthy, fishing units. Symptoms of the existing situation in many parts of this industry have been low returns to labor and/or capital, and thus, old vessels and old crewmen to operate them.

Subsidies, technical assistance, and other direct aid programs that attack only the symptoms and not the basic problems will not be successful in upgrading the industry. Rather, it is necessary to solve the basic problems associated with generally free international and domestic entry into any fishery; and obscure, ambiguous fisheries jurisdiction.

Alleviating these problems will set the stage for limiting fishing effort on our fish stocks and provide a mechanism for fisheries management beyond territorial waters. Accomplishment of the mission will entail the alleviation of major sport-commercial fishery problems.

NMFS is initiating an effort to provide the cooperation and assistance necessary to develop appropriate management programs involving individual States, groups of States, and joint programs between States and the Federal Government.

### Basic Problems

#### 1. Common Property Character of the Resources

Fishery resources are generally characterized by undefined property rights and are considered as "common property" resources. The undefined property rights imply a traditionally vested right of anyone nationally and internationally (outside fishery jurisdiction limits) to exploit the fish resources. This, combined with the increasing demands for fish and fish products, has attracted excessive numbers of commercial fishermen, and with them the threat of overfishing, to many of our important fisheries.

This situation is complicated and in some cases intensified where sport and commercial fishermen compete for the same species.

Resolutions to alleviate the problem of overfishing so far as the commercial fisheries are concerned have generally been of the type which allow unlimited numbers of fishermen but impose inefficiencies on them. Such regulations virtually guarantee an economically depressed industry.

2. Split fisheries jurisdiction between States and the Federal Government

The individual States have jurisdiction over fishery resources in the territorial waters of the United States. There is at present no clear authority for management by either the States or the Federal Government in the Contiguous Zone, and the resources beyond 12 miles are open to international exploitation which may be controlled only through international bilateral or multilateral agreements.

Many of our fishery resources range across the three zones and thus, under present constitutional and statutory authority, no single Government entity can adequately manage such resources. Further, there is no suitable mechanism for joint management by the various Governments entities involved.

## Objectives

### 1. Strengthen the mechanism for control of international exploitation of resources adjacent to U. S. coasts

Simultaneously with the development of a domestic management plan, international fisheries control must be stabilized. The designation of access to fisheries off the U. S. coast must be made before the full implementation of the State-Federal program can be accomplished. Without an effective international control program in those fisheries exploited by foreign fleets, it will not be possible to realistically evaluate alternative management programs and establish rigorous controls on the domestic fleet.

### 2. Establish guidelines for managing fisheries

Fisheries, as well as other natural resources, can be managed for many different purposes. In order to provide guidelines for the management of fishery resources, criteria must be identified and used to judge the effectiveness of alternative management programs. The primary criteria that must be identified relate to biological, economic and social aspects of the fishing industry. These criteria must be developed cooperatively by States and the Federal Government in order to assure that the management guidelines, based on the relevant criteria, will allow for an effective management program acceptable to States and the Federal Government.

3. Provide a mechanism through legislation for States and groups of States and the Federal Government to cooperatively manage resources

It is clear that an effective mechanism, for implementing fishery management programs, that adequately covers fishery resources that migrate through the territorial waters, Contiguous Zone, and beyond does not exist. Because of the split jurisdiction, these resources can be managed only by a consistent joint program among the State and Federal entities. A truly effective fisheries management plan will require that the States and the Federal Government set up, cooperatively, a workable plan that will consider the needs of the individual States but at the same time fall within the overall guidelines and policies.

The proposed High Seas Fisheries Act will provide an important first step toward this objective (See attached chart).

4. Improve the capability of States to conduct management oriented research

Because many important species spend at least part of their life cycle in areas under State jurisdiction, it is critical that improved biological and economic information required for a total management plan be developed by the States. This can be accomplished by providing increased grants-in-aid for the purpose of generating information needed for the establishment of effective joint State-Federal management programs.

Because of the important role played by recreational fishermen in waters under State jurisdiction, States should place importance on the development of research studies aimed at answering biological and economic questions regarding species fished by recreational fishermen as well as commercial fishermen.

5. Evaluate and test feasibility of alternative programs of Joint State-Federal Management Systems

In order to establish information to identify where excess fishing capability is now posing threats to the resource or the economic viability of the fishery, it will be necessary to bring together in one package all available data and research results for each fishery. This information will be used to determine the need for limiting fishing effort or other management techniques.

As the fishery-by-fishery analyses are completed, a complete review and evaluation of management options with State management agencies and industry members to cover the impact, advantages and disadvantages of each will be necessary. Recreational and commercial fishery interaction will be considered in the fishery-by-fishery analyses.

Feasibility testing of the alternatives to assure compliance with guidelines as well as political acceptability should be made cooperatively by the States and the Federal Government.

The evaluation and improvement of management options will be an ongoing process, and information obtained from the grant-in-aid program, other State programs, and NMFS programs such as MARMAP, Economics, and others will play an increasingly important role in this.

6. Implement specific management programs for each fishery

It is recognized that in some fisheries and with some States or groups or groups of States, implementation of management programs will proceed more rapidly than will others.

In any case, specific legislation to authorize, where appropriate, the limitation of fishing effort will likely be necessary. It will be necessary to develop workable State-Federal mechanisms for establishing regulations, and to provide for monitoring and enforcing the regulatory systems.

The timing on specific legislation will be determined by the sequence of accomplishing objectives previously described.

It will be essential to integrate individual fishery management plans to the extent possible so that a program aimed at the optimum development of all fisheries can be attained.

# STATE AND FEDERAL FISHERY JURISDICTION AS AFFECTED BY THE DRAFT BILL ON "HIGH SEAS CONSERVATION"



Jurisdiction before High Seas Act

Jurisdiction after High Seas Act

No Jurisdiction

Type of Jurisdiction.

Territorial sea

Contiguous Zone

High seas

<p>1. State fishery jurisdiction over its own citizens.</p>		<p>BEFORE</p>		<p>BEFORE</p>
		<p>AFTER</p>		<p>AFTER</p>
<p>2. State fishery jurisdiction over others.</p>		<p>BEFORE</p>		<p>BEFORE</p>
		<p>AFTER</p>		<p>AFTER</p>
<p>3. Federal fishery jurisdiction pursuant to international agreements and implementing statutes.</p>		<p>BEFORE</p>		<p>BEFORE</p>
		<p>AFTER</p>		<p>AFTER</p>
<p>4. Federal fishery jurisdiction pursuant to statutes other than those in 3, above.</p>		<p>BEFORE</p>		<p>BEFORE</p>
		<p>AFTER</p>		<p>AFTER</p>

## Broad Guidelines for Regional State-Federal Action Plans

### 1. Educational and Information Meetings

a. Gain the support of States and industry by discussing the State-Federal program at every opportunity with State people, the industry, local universities and our own staff.

b. Discuss our legislative plans and how they relate to the program.

(1) High Seas Bill

(2) PL 88-309 Management Grant Bill

c. Involve the States and the industry in development of regional plans -- make them feel a part of it.

### 2. Improve upon our cooperative relationship with the State agencies and with the interstate compacts if appropriate

a. Be aware of their urgent problems and offer our assistance -- show that we do not want to take over but merely assume an assistance role where appropriate.

b. Keep them more fully informed than presently of our programs and plans.

- c. Explore the possibility of Federal people and State people working together on common problems.
- d. Explore the possibility of selected National Marine Fisheries Service people spending time with State agencies and State people spending time with NMFS.
- e. Identify conflicts which States clearly cannot solve alone and study ways of solving them -- offer assistance in solving them.
- f. Look at the possibility of funding small contracts with the State agencies to supply information they feel they need.

3. Improving management of fisheries

- a. Study the fisheries to see which are hampered most by inefficient regulations, conflicts, overcapitalization, etc., and explore alternative management schemes (limited entry, if appropriate) and identify those which seem most in need of changes.
- b. Study alternatives for these fisheries to see what improvements seem feasible.
- c. Discuss problems and possibilities for improvement with States and industry. Get them involved.

d. Attempt to come up with plans acceptable to the industry, States, and NMFS. Execution of plans might have to await passage of High Seas Bill or it might be feasible to put into effect on more or less a voluntary basis prior to passage of High Seas Bill.

4. Providing for data inputs

In assessing the needed improvements in fisheries management on a fishery-by-fisheries basis various data gaps will immediately become evident - describe these needs and develop plans for filling these gaps by:

- a. Redirecting in-house program efforts
- b. Encouraging States to obtain information using PL 88-309 program
- c. Contract work with State-Federal funds
- d. New funding (include in future budget proposals).

APPENDIX E

GENERAL MEMORANDA

APPENDIX E

General Memoranda

General Memorandum 72-1 issued as a draft on August 13, 1971, "organization, structure, mission, and operation of the North Atlantic Coastal Fisheries Research Center" is superseded by the present document, and is not included here.

GENERAL MEMORANDUM 72-2

Draft: August 13, 1971

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director

SUBJECT: Center Organization and Supervisory Responsibilities

The CENTER Director is ultimately responsible for all phases of the CENTER'S administration as well as its research and service activities. Much of this responsibility obviously must be shared and/or delegated. For example, responsibility for research planning, coordination, and analysis must be jointly shared with Directors of Investigations and research staff; responsibility for vessel programming and logistics must be shared with the Directors of Investigations and the marine superintendent; responsibility for administrative procedures and activities must be shared with the Executive Officer, the Administrative Officers and their staffs.

The principal functions of the Director include:

1. Setting objectives and goals, stimulating research, and determining policy;
2. Organizing effective research groups;
3. Maintaining the best possible environment for research;
4. Insuring effective communication within the group and with outside groups of all kinds.
5. Examining and analyzing research results;
6. Recruiting key staff members.
7. Developing research and supervisory capabilities of staff members;
8. Insuring proper status and satisfaction of scientists and supporting staff;
9. Coordinating laboratory activities with those of industry, academic, federal, state and international groups and agencies.

GM 72-2, February 28, 1972

-2-

The Deputy Center Director has a critical role in the Center's administration and research activities. He is the Director's deputy in all duties and responsibilities and has full responsibility in the absence of the Director. Additionally, some of the Director's responsibilities are directly delegated to the Deputy Director to provide effective overall administration of the CENTER. At present, these responsibilities include supervision of the Libraries, Marine Technical Services, Data Processing, Editorial Services, and Typing Services. In all other administrative areas and at all times the Deputy Director should be considered to speak and act with the authority of the Director.

Directors of Investigations have a primary role in planning, supervising, stimulating, and participating in effective research within their program. They also have advisory responsibilities related to the research orientation and procedures of the CENTER. Directors of Investigations meet regularly with other supervisors as a Planning Council to consider and advise on many aspects of laboratory research and administration. In this advisory capacity they are expected to consider certain subjects from the viewpoint of the good of the CENTER rather than the individual investigations. All supervisors have the responsibility of bringing to council meetings the opinions, comments, and suggestions of their staff, and of communicating the results of discussions to the staff members they supervise.

The Center Administrative Officer advises all Administrative Services components of the CENTER. These include personnel, finance, purchasing, and buildings and grounds. These key activities are vital to the efficient operation of the CENTER and to the support of the CENTER'S research. The Center Administrative Officer is a member ex officio of the CENTER Research Council.

The Marine Superintendent supervises Marine Services -- which include vessel operations, crewing, and maintenance. His responsibility is to provide a functional and efficiently operating vessel to support the research programs. The Marine Superintendent is a member ex officio of the CENTER Research Council.

Carl J. Sindermann

GENERAL MEMORANDUM 72-3

Draft: August 13, 1971

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director

SUBJECT: General Statement of Principles

1. This Center is, first and last, a research organization, hence whatever aids and fosters research is good, and whatever hinders it is not good. However, for most effective operation there are ground rules and procedures that must be followed, since an orderly administrative structure and orderly routes of authority are necessary to provide proper support for research activities. Productive research people deserve all possible assistance from the administrative staff, since the administrative service functions of the laboratory are designed to facilitate research functions. The supporting staff in a research laboratory plays an important and critical role in the success of the organization. This role should be recognized and appreciated.
2. One of the primary goals in administration of a research laboratory must be the maintenance of an environment conducive to effective research. Research laboratories should by their very nature be pleasant, productive, and stimulating places in which to work.
3. Program objectives and research orientation will be reviewed periodically. Directors of Investigations can and should expect considerable autonomy in planning and executing research, but since the Center Director is ultimately responsible for the research carried on by the component research units, final decisions on objectives and orientation must remain with him.
4. Published results of research constitute the primary products of a research group. A major responsibility of research people is to make the results of their research known through continuing scientific publication. While progress reports and summaries of various kinds are required occasionally, there is a danger in the production of excessive amounts of mimeographed materials, which do not constitute publication. Research is a continuous and continuing process, as is publication of results. All projects should be planned with a definite publication in mind. Preparation of results of completed research for publication should be carried on concurrently with active research on new projects.

GM 72-3, February 28, 1972

2.

5. For effective operation of a research organization, communication is essential. This includes communication among research people, and between the scientific and supporting staff. To this end regular staff meetings, annual program reviews, and other types of conferences will be required as a matter of policy.

Carl J. Sindermann

General Memorandum 72-4 "Publication and Editorial Policy" not yet finalized.

GENERAL MEMORANDUM 72-5

Draft: August 13, 1971

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director

SUBJECT: Academic Training

Opportunity for further academic training while employed is one of the many fringe benefits offered by the government. These benefits are available in two forms, (1) the formal NOAA and CSC programs and (2) an informal, intra-Center program.

Such training is a joint responsibility -- of the employee, who is responsible for his own self-development, and of the Center, which will enjoy some of the benefits of such training. For these reasons, and because of our advantageous geographic location, close to a variety of educational institutions, we encourage staff members to take advantage of possible training. We will try to achieve a uniform policy that will provide for adequate training opportunities but which will at the same time insure that the research mission of the laboratory is accomplished. Your attention is called to the Departmental regulations on training which are available in the administrative offices of your facility. Within the confines of these regulations, the Center's supplementary training policy will be as follows:

1. All requests for training during working hours, whether tuition is to be paid by the government or not, and whether to be taken for academic credit or not, must be discussed with your supervisor and approved in advance by the Center Director.
2. Approved training will normally be limited to one course per term. Such training will be considered part of the work week. Tuition and expenses can be paid by the Center, subject to RO approval.
3. In exceptional cases more than one course per term may be approved, after discussion with the Director of Investigations concerned. Usually, however, it will not be feasible to consider time involved in more than one course as part of the work week.
4. Requests for approval of training and/or reimbursement of tuition will be judged on the basis of relevance of training to the job assignment of the individual, and the availability of funds. Consideration will be given to:

GM 72-5, February 28, 1972

2.

- a. Subject and objective of course;
  - b. Relation of course to employee's work;
  - c. Possibility of taking course other than during working hours;
  - d. Possibility of taking course wholly or partially on annual leave;
  - e. Length of employee's service with the government, with NOAA, and with the Center;
  - f. Utility of the course to the government and to the Center's objectives;
  - g. Relevancy of the course to present assignment;
  - h. Contribution of the applicant to the research effort of the Center;
  - i. Previous training advantages received;
  - j. Attitude of the applicant toward research.
5. Each employee should periodically review his training needs with his supervisor.
  6. Classroom hours on government time (Item 19c on form) for a semester course should be computed as 15 times the weekly contact hours.
  7. One-half hour total travel time will be allowed for each separate lecture or laboratory session. Any additional travel time must be made up outside normal duty hours or taken as annual leave.
  8. It should be clearly understood that no homework of any kind will be done during official duty hours.
  9. Cruises or necessary official travel will take precedence over training.
  10. Requests for training will be expected by January 1 (for spring term), May 1 (for summer term), and August 1 (for fall term). Requests will be evaluated as a group, and will not necessarily be automatically approved.
  11. An official record of course grades is required for the files from each employee approved for training.
  12. Directors of Investigations and Investigation Chiefs should encourage certain employees to request training if there are particular program needs that could be served by such training.
  13. In addition to the kind of training discussed so far, it should again be pointed out that full-time academic training, for a semester or longer, is also possible -- as is training under various NOAA, Departmental, and Civil Service Commission programs. Information may be obtained from your Administrative Officer.

Carl J. Sindermann

GENERAL MEMORANDUM 72-6

Draft: September 13, 1971  
Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director, Middle Atlantic Coastal Fisheries Center

SUBJECT: Special Studies Unit

The proposed organization chart for the Center provides for a Technical Services staff operation which includes a Special Studies Unit (SSU). This memo is designed to explain the operation of the SSU.

1. One of the basic functions of the research is to test innovative ideas or hypotheses. Often the facilities, staff, and budget of any single Investigation cannot encompass the effort needed to explore all the desired or needed research areas, and a larger framework would be desirable. This is to be provided by the Center by the SSU. There will be no permanent staff in this unit. Field people whose innovative proposals or important program responsibilities appear to justify intensive development and/or prosecution will be appointed for varying periods of time to the unit. Such appointments will not involve a change of station. Appointees may, if necessary, be relieved of regular duties at their home station while performing the function for which they were appointed. While remaining under the administrative supervision of their Director of Investigations, their progress reports, etc., will be forwarded directly to the Center Director. The latter will personally evaluate the work for creativity, technical competence and rate of progress. While such staff assignments carry no line authority, the appointees when requesting cooperation from Directors of Investigations will be reflecting the wishes of the Center Director. Every reasonable opportunity to discharge his responsibilities should be accorded to the appointee(s).

GM 72-6, February 28, 1972

2.

2. We recognize that such assignments could, if not reasonably prosecuted, upset the normal operations of the cooperating Investigations. For this reason, all such assignments will be discussed in advance with the Director of Investigations concerned and, in the body of the assignment memo, the scope of the assignee's authority to request cooperation will be specifically delimited.

We expect that in the future many of the activities of the SSU would be generated and developed (and participants indicated) by the Center's Research Council.

3. Assignments of varying length to the Special Services Unit of the Center may be made for purposes other than those mentioned in item 1 -- such as evaluation of certain specific research areas, or preparation of special publications or reports.

Carl J. Sindermann

GENERAL MEMORANDUM 72-7

Draft: August 13, 1971

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director

SUBJECT: Graduate Student Employment Policy

In accord with long-standing professional traditions, the MACFC commits itself to the employment of graduate students enrolled in the physical and biological sciences. Such a policy ensures a future supply of marine-oriented scientists and enables the Center to keep abreast of current academic research. This employment will of course be within the limits of funds and personnel ceilings available to the Center.

General guidelines are as follows:

1. Generally, Masters' students will be employed at the grade of GS-5 and Ph.D. students at the grade of GS-7. However, advanced Master students may be raised, after previous employment, to GS-7. The minimum number of assigned work hours per week will be 20, with University approval. Any increase for an individual employee above the minimum hours must be in accord with University regulations. This limitation on part-time employment is effective during the 9-month school term; there is an option for all graduate student employees to work a 40-hour work week during the 3-month summer term.
2. There will be three classes of employment for graduate students: (a) Directed Research Fellowship, (b) Associated Fellowship, and (c) Assistantship.
  - a. Directed Research Fellowship. Graduate students employed in this capacity are expected to work on their personal thesis research for a portion of their time of weekly employment. This research must directly and intimately relate to research of the Center Investigation under which the student is employed. The student will be expected and required to work part-time (never more than 50%) on routine or special work for the program in addition to his regular thesis work. The amount and schedule of such work is to be determined and clarified in advance by the Director of Investigations. The number of hours worked per

GM 72-7, February 28, 1972

2.

week under this fellowship can be increased to the maximum allowable under Center and University regulations, subject to the determination of the Director of Investigations. The available fellowships are to be preferentially filled in this capacity, if qualified students are available and this type of fellowship is needed at the laboratory.

b. Associated Research Fellowship. If one or more Directed Research Fellowships are not filled, students may be hired under Associated Fellowships. This fellowship is limited to a maximum of 20 hours per week. The student is expected to work on his personal thesis research which must be related to research of the Center Investigation under which he is employed. He will not be expected to do routine or special work for the program.

c. Assistantship. Graduate students hired under an assistantship will normally be employed for 20 hours per week. The number of hours worked per week may be determined above that amount by agreement of the Director of Investigations with the concurrence of the university. These students will be expected to work entirely on routine or special work for the program. Their work may relate to their personal thesis research, but must be also an active part of the program research.

3. During their first year of employment, graduate students should make an effort to qualify for civil service ratings and to be placed on appropriate civil service registers. This will facilitate any merited changes in grade as outlined above.

Carl J. Sindermann

GENERAL MEMORANDUM 72-8

Draft: August 13, 1971

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director

SUBJECT: Correspondence Policy

Primarily as a review of standard procedure in official correspondence using official letterhead, the following general guidelines should be followed:

1. Correspondence concerning research matters is of course completely at the discretion and good judgment of the research staff.
2. Correspondence involving matters of Center or NMFS funds, personnel or policy must either originate in the office of the Center Director or be discussed in detail with the Center Director.
3. All correspondence with the Regional or Washington office on funds, personnel or policy will be from the office of the Center Director, with the exception of certain areas specifically designated to the Executive Officer and his staff, to the Marine Superintendent, or in special cases approved in advance by the Center Director.
4. All administrative correspondence with Directors of other NMFS Centers or State laboratories should originate from the office of the Center Director only.
5. A chronological file of outgoing correspondence will be maintained in the office of Director of Investigations. Each research staff member should maintain for his own reference a file of his research correspondence. Correspondence concerning the facility should, as at present, be maintained in the files of the facility Administrative Officer.

GM 72-8, February 28, 1972

2.

6. Great care must be taken not to make financial or job commitments -- even those that might be construed as commitments -- in research correspondence.
7. Attitudes toward and opinions about this Center, on the part of others, will often be shaped to a large extent by the kind of correspondence they receive. Often this is the only contact that many people will have with the Center. Because of this, official correspondence, in addition to providing information, should be generally pleasant, carefully worded, concise, and timely.
8. Congressional mail should be directed to the Regional Office, with draft reply prepared for Regional Director's signature.

Carl J. Sindermann

GENERAL MEMORANDUM 72-9

Draft: September 13, 1971  
Revised: February 28, 1972

TO: All Officers-in-Charge, Directors of Investigations,  
Middle Atlantic Coastal Fisheries Center

FROM: Center Director  
Middle Atlantic Coastal Fisheries Center

SUBJECT: Administrative Procedures: Fiscal Controls and Responsibilities

1. The Administrative Officer at each research facility is responsible for the expeditious processing of obligations and payment documents. He must know and closely follow prescribed regulations and directives. The Administrative Officer as well as the Officers-in-Charge and Directors of Investigations or other designated officials, must understand that their responsibilities are limited by law.
2. The Officers-in-Charge and Directors of Investigations, designated officials, are responsible for keeping expenditures within the limits of the funds for which they maintain accounts. They may assign personnel to assist them to maintain control of obligations within the apportionments. Any proposed diversion of funds from previously approved programs must be submitted, together with a full justification, to the Center Director for approval.
3. Present open market authorities will be retained at the research facilities. Imprest funds will be utilized to the extent possible to facilitate routine operations. Single purchase limit under imprest funds is \$100.00. Purchase orders consistent with applicable legal and regulatory requirements may be issued by Officers-in-Charge and Directors of Investigations to a limit of \$1,500.00. To ensure against undue duplication of purchases, verbal clearance from the Center Director is required for purchase orders in excess of \$500.00.

GM 72-9, February 28, 1972

2.

4. Requisitions for purchases in excess of \$1,500.00, together with necessary supporting documents, will be forwarded to the Center for processing or for submission to the Regional Office as required by existing delegation of authority.
5. At regular intervals but not less than once a month the Officer-in-Charge will verify in writing on each imprest fund voucher ledger sheet that he concure with the purchases listed. This is in addition to the requirement of ESSA Finance Handbook 11-06, section 3.

Unannounced cash verification and audit will be made at regular intervals by persons selected by the Officer-in-Charge and by representatives of the Center Directorate.

6. Separate summaries of expenditures and obligations will be prepared by Administrative Officers for each Director of Investigations housed in his facility. They will be submitted to the Center Director through the Executive Officer as directed but not less than once a month (Exhibit No. 1). A summary of allocated funds will be prepared by Administrative Officers as directed, but not less than one a month and submitted through the Executive Officer to Center Director (Exhibit 2). Obligations will include the unexpended fiscal year balance for expenditures over which the Directors of Investigations have little or no control such as utilities, telephone, vehicles and rantal agreements.
7. Budgetary control of funds assigned to approved staffing requirements will be retained by the Center Executive Office. Any additional salary expenditures such as overtime, premium pay, intermittent or non-scheduled expenditures such as lump sum payments, will be reported biweekly at the end of each pay period. In no case will this exceed funds previously approved by the Center Director.

Carl J. Sindermann





GENERAL MEMORANDUM 72-10

Draft: January 11, 1972

Revised: February 28, 1972

TO: All Staff Members, Middle Atlantic Coastal Fisheries Center

FROM: Center Director, Middle Atlantic Coastal Fisheries Center

SUBJECT: Promotion Policy and Review Board

1. It is the policy of the Center that, under routine responsibilities, recommendations for promotions of professional personnel shall originate with the immediate supervisor. However, it is the responsibility of the Center Director and the Directors of Investigations: (1) to ensure that a continuous and objective review of each Center staff member's readiness for promotion is made at least once yearly, and (2) to ensure that all personnel recommended for promotion meet certain Civil Service criteria. Both of these functions will be served by the Center Promotion Review Board.
2. It is also the policy of the Center that such promotion review and oversight activities shall be extended to include all other Center employees as soon as is feasible. Comparable procedures and criteria will be developed as quickly as possible for all other Center staff members.
3. It is also the policy of the Center that all recommendations originating from the Center Promotion Review Board shall be referred to the immediate supervisor concerned for evaluation, and for acceptance or rejection (with justification). (Function of Promotion Review Board, in these instances, is to ensure against discriminatory application of promotion policy. Recommendations are advisory only; detailed records of deliberations will not be kept. Responses to recommendations will be discussed with the Board).
4. It is the policy of the Center that, in the case of actions involving promotions to grade GS-11 or higher, originated by the immediate supervisor and concurred in by the appropriate Director of Investigations and by the Center Director, the Promotion Review Board will function as an objective Regional scientific contribution review committee (as required by the Civil Service Commission) utilizing criteria which emphasize the man-in-the-job concept. Detailed records will be kept. Consensus will be forwarded to the Regional Office with formal promotion documents.

GM 72-10, February 28, 1972

2.

5. It is the policy of the Center that, in the case of actions involving promotions from grade GS-5 to GS-9, originated by the immediate supervisor and which have received the necessary concurrences, the Promotion Review Board will evaluate justifications presented by the appropriate member of the Board on the basis of the attached conventional narrative format (Attachment #1). A copy of consensus (if reached) will be placed in subject's biographical vita files in Center Directorate.
6. It is the policy of the Center that the Promotion Review Board will function also as an objective instrument to recommend whether a professional staff member merits further career consideration or whether his talents might be better developed elsewhere. If, in the course of routine review, a person is passed over repeatedly for promotion or if, when promotion is ultimately recommended, his supervisor presents strong factual evidence to the contrary, recommendations will be made to the supervisor that said person be encouraged and assisted to look elsewhere for employment.
7. Proposed Promotion Review Procedure:
  - A. Action originated by Supervisors: to GS-11 or higher.
    1. Immediate supervisor (Investigation Chief in most cases) recommends action to Director of Investigations.
    2. Director of Investigations concurring, signed supporting documents are forwarded to Center Director.
    3. Center Director concurring, documents are copied and forwarded to the Review Board (excepting supervisor concerned) for evaluation prior to meeting.
    4. Upon convening of Board at staff meeting, members submit evaluation (on attached work sheet - Attachment #2-), according to CSC criteria (Criteria distributed at Oxford meeting).
    5. Center Director prepares consensus evaluations and forwards consensus and documents to Regional Office for appropriate action.

GM 72-10, February 28, 1972

3.

B. Action originated by Review Board:

1. Review of biographical vita elicits recommendations that some action be taken, referred to appropriate Director of Investigations.
  2. Next meeting, Board is apprised of action taken - if rejection, action is justified by concerned Director of Investigations.
  3. Board concurs - appropriate notation in biographical vita.
  4. If promotion recommended and incumbent is being promoted to GS-11 or higher, procedures in A, above, are followed.
8. It is, finally, the policy of the Center that the results of the promotion and promotion review process shall be made available to the staff members concerned through their supervisors. In the event that an individual considers himself unfairly treated, he may appeal directly to the Center Director, submitting a documented request for promotion. These requests will be fairly and fully investigated and evaluated. The results of such investigation shall be communicated to the interested employee through his supervisor.

Carl J. Sindermann

NOAA FORM 53-8 U.S. DEPARTMENT OF COMMERCE  
 (12-70) NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

**EMPLOYEE CAREER APPRAISAL**

1. NAME (Last, first, middle)

2. PRESENT POSITION TITLE

3. GRADE  
GS-

4. CAREER FIELD

5. IMMEDIATE GOAL POSITION

6. LONG RANGE GOAL

7. INSTRUCTIONS- Give an evaluation from personal knowledge of each item in columns A through E which best expresses an appraisal of the qualifications of the employee for the immediate goal position. In column F, indicate training needs in relation to the immediate goal.

ABILITY STATEMENTS REPRESENTING ELEMENTS OF IMMEDIATE GOAL POSITION

	A	B	C	D	E	F	
	HIGH POTENTIAL	AVERAGE POTENTIAL	LOW POTENTIAL	NO POTENTIAL	DON'T KNOW	ADDITIONAL TRAINING NEEDED	
						YES	NO
1. Uses sound theoretical reasoning in reaching decisions or developing products.							
2. Applies the latest technical information and developments.							
3. Participates in or leads technical discussions							
4. Utilizes training and self-development opportunities.							
5. Keeps abreast of field developments.							
6. Fosters attitude of responsive service to the public.							
7. Develops effective inter-personal communications.							
8. Solves complex problems.							
9. Plans creatively.							
10. Carries out assignments.							
11. Inspires confidence.							
12. Skill in written communications.							
13. Skill in oral communications.							
14. Skill in program management.							
15. Decision making ability.							
16. Maximizes satisfaction from career.							
17. Other (Specify)							
18.							
19.							

8. APPRAISER (Signature)

9. TITLE

10. DATE

PROMOTION APPRAISAL -- GENERAL SCIENTIFIC QUALIFICATIONS

If a particular factor is not applicable, or if your knowledge about it is not first-hand, check (1/) the last column, "Don't Know."

Candidate's name: \_\_\_\_\_

	Below Avg.	Marg- inal	Aver- age	Above Avg.	Excep- tional	Do not know
a. The quality of the work that the person has been engaged in, as indicated by such factors as promising leads or techniques developed by him or findings that he has made, or, if these factors are not applicable, by the end results of his work.	1	2	3	4	5	
b. The level of sustained research productivity, as measured primarily but not exclusively by the appearance of manuscripts and published scientific contributions.	1	2	3	4	5	
c. The capacity of the individual to develop, as indicated by an increasing ability to perform independent work, evidence of more acute scientific judgment and an increase in the quality, quantity, or variety of his work.	1	2	3	4	5	
d. The relative capabilities of the individual as compared to those of other employees with similar training and experience	1	2	3	4	5	
e. The individual's reputation in his field as indicated by reliance placed by others on his work and ideas, his articles, books, or other writings, his activities in organizations related to his professional specialty, and similar measures of his status in his profession.	1	2	3	4	5	

Promotion Appraisal -- General Scientific Qualifications (cont.)

Candidate's name: \_\_\_\_\_

	Below Avg.	Marg- inal	Aver- age	Above Avg.	Excep- tional	Don know
f. Personal characteristics bearing directly upon his effectiveness, such as the ability to get along with, assist, or supervise people.	1	2	3	4	5	
g. Writing or editorial ability, effectiveness on committees, ability to organize his and other's work, administrative judgment and other traits relevant to his performance on his current job and the job for which he may be considered.	1	2	3	4	5	
h. In the case of supervisors, the ability to properly motivate -- even "inspire" associates to more than average levels of scientific productivity.	1	2	3	4	5	
i. Participation in national and international scientific meetings and conferences, and in the affairs of regional and national scientific societies.	1	2	3	4	5	
j. Selection for FAO, Central Office, and other special assignments; and effective enthusiastic performance in such assignments.	1	2	3	4	5	
k. Willingness to explore and undertake new areas of research if required.	1	2	3	4	5	

2-1  
(May 1969)

Bureau of Commercial Fisheries

PROMOTION APPRAISAL

To the Employee: Request your immediate supervisor to complete this form and to send it to the office announcing the vacancy for which you have applied.

To the Supervisor: Your appraisal of the employee's work habits, production, performance, etc. is a primary means by which he is considered for promotion or reassignment to vacant positions in the Bureau. Please consider seriously his performance under your supervision in terms of the factors listed below. Opposite each factor, circle the numeral which best represents your assessment of the candidate. If a particular factor is not applicable, or if your knowledge about it is not firsthand, check (✓) the last column, "Don't Know."

Candidate's name: \_\_\_\_\_

	Below Avg.	Marginal	Average	Above Avg.	Exceptional	Don't Know
a. Has a knowledge of practices, procedures, and skills in his technical area . . . . .	1	2	3	4	5	
b. Is able to learn and/or follow work processes, procedures, regulations, & guidelines . . . . .	1	2	3	4	5	
c. Applies skills, knowledge, & past experience to assignments in a practical manner . . . . .	1	2	3	4	5	
d. Shows interest & enthusiasm in work assignments . . . . .	1	2	3	4	5	
e. Is adaptable & receptive to new approaches and ideas in the work . . . . .	1	2	3	4	5	
f. Is dependable; accepts & carries out assigned responsibilities . . . . .	1	2	3	4	5	
g. Is able to organize and plan his own work . . . . .	1	2	3	4	5	
h. Accepts supervisory decisions and guidance . . . . .	1	2	3	4	5	
i. Works effectively & harmoniously with others; is cooperative . . . . .	1	2	3	4	5	
j. Demonstrates initiative; works as a "self-starter;" acts on his own . . . . .	1	2	3	4	5	
k. Displays resourcefulness & originality when the occasion allows . . . . .	1	2		4	5	
l. Is able to evaluate facts, and to make decisions or recommendations . . . . .	1	2	3	4	5	
m. Accepts responsibility, & fulfills expectations . . . . .	1	2	3	4	5	
n. Performs adequately with only a normal degree of supervision . . . . .	1	2	3	4	5	
o. Productivity; quantity of useful work . . . . .	1	2	3	4	5	
p. Quality of work . . . . .	1	2	3	4	5	



**U.S. DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
NATIONAL MARINE FISHERIES SERVICE**

Middle Atlantic Coastal Fisheries Center  
Highlands, New Jersey 07732

Date: March 7, 1972

Reply to  
Attn of:

*Carl S. Johnson*  
FNE1 - Center Director

Subject: Promotion Policy and Review Board: administrative, technician and clerical staff

To: All Staff Members  
Middle Atlantic Coastal Fisheries Center

1. General Memorandum 72-10, dated February 28, 1972, states overall Center policy with regard to promotion policy, provides a mechanism to prevent oversight or bias and a procedure for review and evaluation of nominations of professional staff members.
2. Paragraph #2 of the above memo expresses the Center's intent to expand the overview function of the Promotion Policy and Review Board to include all non-professional staff members. This amendment to GM72-10 provides the mechanism for such promotion review.
3. It is expected that nominations of non-professional personnel for promotion will originate with their immediate supervisors and will be forwarded through normal channels. Recommendations originating from the Promotion Review Board must, however, receive positive action, i. e. , acceptance and action or rejection with justification.
4. It is the policy of the Center that, in view of the fact that clerical and administrative career ladders are relatively short, every assistance merited will be given to foster training and experience in new skills or even in new fields of work when such training reflects Center needs and results in tangible benefits to Government.
5. It is the policy of the Center that the biographical vita file of each employee will be reviewed at least once per year and that all recommendations originating with the Promotion Review Board as a result of that review will be referred to the appropriate immediate supervisor for evaluation and for acceptance or rejection (with justification). The function of the Review Board are to ensure against discriminatory practices, to prevent inadvertent oversight and to ensure a uniform Center-wide application of promotion policy.



**A Century of Fish Conservation**

All Staff Members, MACFC

-2-

March 7, 1972

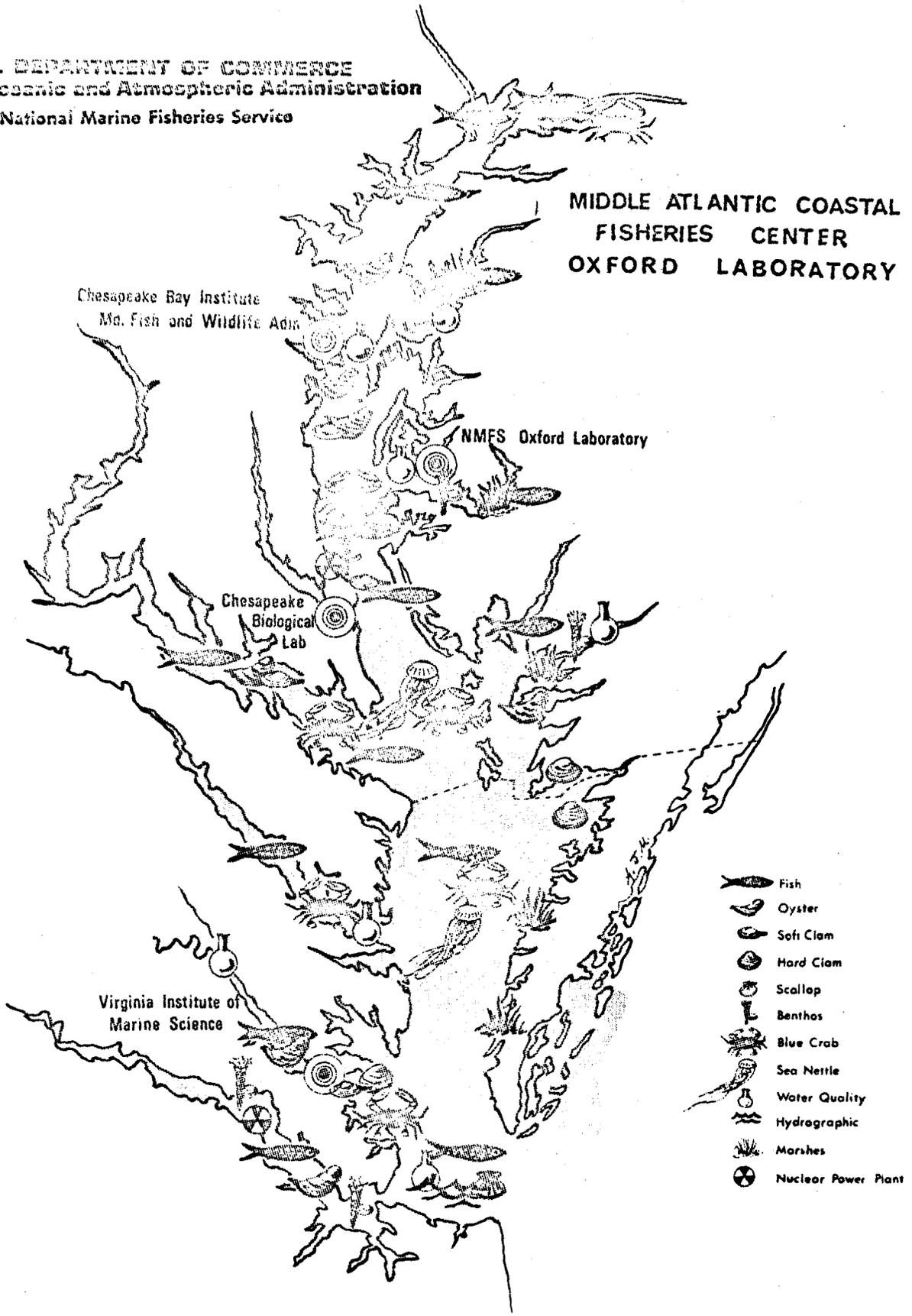
6. It is the policy of the Center that the Promotion Review Board, during its bimonthly meeting, will review a listing of non-professional promotion actions proposed during the period between meetings. The purposes of the review are: (1) to attain and to maintain uniform, Center-wide grade structures, (2) to emphasize the fact that maintenance of the morale or support staff personnel is vital to the productivity of any laboratory and (3) to develop information on alternative career ladder techniques for persons whose promotion potential is restricted.
7. It is the inflexible policy of the Center that promotions be based on merit alone, that they be timely, that they reflect the degree of increased responsibility already assumed or to be assumed and that race, color, class, sex or creed will not adversely affect the consideration of any candidate during the selection process.
8. For the purpose of reviews of non-professional staff members, the membership of the Promotion Review Board will be augmented by one male and one female non-professional first-line supervisors from the staff of the host laboratory.
9. It is, finally, the policy of the Center that the results of the promotion review process shall be made available to the staff members concerned through their respective supervisors. In the event that an individual considers himself to be unfairly treated, he may appeal directly to the Center Director, submitting a documented request and justification for promotion. These requests will be fairly and fully investigated and evaluated. Results of the investigation shall be communicated to the interested employee through his supervisor.

APPENDIX F

SAMPLE ANNUAL REVIEW SUMMARY (OXFORD)

U.S. DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service

MIDDLE ATLANTIC COASTAL  
FISHERIES CENTER  
OXFORD LABORATORY



Research Activities on Chesapeake Bay

PROGRAM REVIEW - OXFORD LABORATORY

FEBRUARY 9, 1972

- 9:00 a.m. Introduction and Welcome - Dr. Aaron Rosenfield
- 9:15 Center Organization and Implementation - Dr. Carl Sindermann
- 9:30 Oxford Administrative Program - Mr. William O'Connell
- 9:45 Shellfish Culture Studies--Completion Summary - Mr. William Shaw
- 10:00 Break
- 10:15 Ecology Program - Dr. Robert Hanks
- 10:30 Surf Clam Industry - Mr. John Ropes
- 11:00 Surf Clam; Port Sampling - Mr. John Ropes and Mr. Allan Barker
- 11:15 Chesapeake Bay Study--Corps of Engineers - Mr. Robert Lippson
- 11:30 Choptank and Wicomico Rivers Baseline Studies - Mr. Robert Lippson
- 11:45 Chincoteague Cooperative Dump Site Study - Mr. Darryl Christensen
- 12:00 NMFS Region III--Situation Outlook - Mr. Russell Norris
- 12:15 p.m. Lunch
- 1:30 Pathology Program - Dr. Robert Murchelano
- 2:00 Histological Services - Mrs. Helena Jones
- 2:15 Molluscan Pathology - Mr. Frederick Kern
- 2:30 Crustacean Pathology - Mr. Martin Newman
- 2:45 Fish Pathology - Dr. Jerry Hendricks
- 3:00 Break
- 3:15 Microbiology - Mr. Haskell Tubiash
- 3:30 Immunology - Dr. Gilbert Pauley
- 3:45 State of Maryland Cooperative Studies - Miss Sally Otto
- 4:00 Summary and Discussion
- 4:30 Administrative Meeting - Center, Region, Central Office Representatives

Evening cocktails at Dr. Rosenfield's home for visitors and the scientific staff

## INTRODUCTION TO PROGRAM REVIEW

**Objectives:** The goals of the Facility Director and his immediate staff are to insure the necessary motivation, research environment, facilities, direction, and administrative services to permit the Center and its Investigational units to meet NMFS and NOAA objectives. Acting as a liaison and apprising the Center, Region, NMFS Directorates, and other appropriate Departmental offices of our research progress, significant facility developments, and associated activities are important functions. Consequently, we consider the dissemination of accurate and meaningful information to the industry, public, scientific community and university, State, and Federal agencies to be our most immediate goal.

Our annual Program Review holds particular significance this year, for it summarizes our accomplishments as an integrated unit of the Middle Atlantic Coastal Fisheries Center during our first full year within the NOAA system. The forthcoming year will present a special challenge as well as a unique opportunity to meet and carry out new responsibilities and functions according to the reorganization of research activities within the Center.

**Accomplishments:** To help meet the Center's and Laboratory's Investigation goals and objectives, the Director and his administrative office provide to the staff: (1) budgetary, operational, and in some cases research guidelines; (2) ordering, purchasing, clerical, typing, and other technical and administrative services; (3) a library and the services of a Librarian; (4) building, grounds, and facility maintenance and repairs; (5) a vessel and services of a boat captain; (6) a field office in Point Pleasant, N. J., and a field station in Franklin City, Va.

Proximity to the Central Office and knowledge of the staff's capabilities resulted in several non-Laboratory assignments in Center, NMFS, and NOAA offices. Although these assignments do not reveal themselves as direct accomplishments, they must be considered as important Laboratory contributions that will ultimately benefit the Center, Region, NMFS, and NOAA (see appendix). We have written, reviewed, and commented on grants, contract proposals, and project progress reports. Cooperative activities with State, Federal, university, and industrial groups involved with the management of shellfishery resources and the environment have proved extremely beneficial in cementing relationships with these organizations. We have actively participated on various study and planning group committees, acted as consultants or Regional, Center, and Central Office representatives for desk and on-sight reviews, and participated in conferences, workshops, and committee meetings.

**Other accomplishments  
and activities:**

For the first several months of the calendar year, virtually the entire research staff participated in a number of cruises as part of the multilaboratory cooperative marine contaminants program. The purposes of these cruises were to demarcate appropriate sampling stations, sampling gear and methodology, and to establish appropriate target and alternate species for metal and other contaminant analyses. Included as part of the contaminant program was the staff's participation in three cruises of the Woods Hole groundfish survey, and several cruises to the New York Bight and Chincoteague areas. The functions and responsibilities of the Pathology Program were broadened to include studies on fish pathology. With our incorporation into the Center and in support of our continuing obligations to the Chesapeake Bay area, Laboratory staff functions were reorganized to form a new Ecology Program. The primary responsibilities of this new Program are to assess living resources in the Choptank and Wicomico Rivers, provide baseline information on water quality, sediment types and distribution, and provide consultant services on activities and resources in Chesapeake Bay.

## ADMINISTRATION

**Objectives:** To provide staff support through adequate and efficient administrative services in a manner that will facilitate and enhance research productivity and scientific inquiry. The achievement of this objective within the framework of regulations established for the protection of the employer is a constantly challenging endeavor.

**Accomplishments:** Library holdings on ecology, contaminants, fish pathology, and environmental quality were increased to meet expanded Laboratory research requirements. Data on our work was contributed toward an annotated bibliography on Chesapeake Bay research being prepared by VIMS. Slides and photographs from numerous internal sources were gathered into a centralized system which provides lending and control features.

A better preventative maintenance program was made possible by the new maintenanceman position; one benefit was a nearly breakdown-free air conditioning season, resulting in exceptionally more comfortable summer working conditions. An improved saltwater pumping system was installed, utilizing corrosion-resistant plastic pumps. The maintenance staff made a major contribution toward developing a Laboratory electron microscopy facility.

A Civil Service personnel management review was the first ever conducted at the Oxford Laboratory; this plus other intra- and interagency contacts opened valuable new avenues of communication. Reconciliation of employee leave balance and salary payment discrepancies was finally achieved following full incorporation into the NOAA system. Procurement activities were substantially improved by increasing the Imprest Fund and doing more business on a cash basis; other extensive revisions of procurement methods are underway. Summer employment of a college student again proved to be a successful method of completing the annual property inventory. Our accident-free motor vehicle record remained intact for the fourth consecutive year.

Establishment of a long needed additional Clerk-Typist position resulted in greater manuscript processing efficiency to the extent that 15 more manuscripts were published over the previous year. Shifting of secretarial duties created a more realistically balanced workload. Administrative support personnel received ability-broadening experience and stimulus from unprecedented new training, travel, communication, and duty assignment opportunities.

Finally, we somehow managed to survive conversion to the NOAA administrative way of life.

Future:

Achieve complete integration into the Center operational concept. Replace the aged vessel Alosa. Continue efforts initiated to revise and improve procurement methods. Strive for an even better saltwater pumping system, and keep searching for a solution to the personnel and equipment space shortage. Complete the roof repair project and finish construction of the wharf. Continue to take advantage of the new training, communication, and other opportunities for support personnel. Despite severe constraints, continue efforts to correct disparities between personnel grade levels and job responsibilities.

## ECOLOGY PROGRAM

The Ecology Program was initiated on July 1, 1971, to respond to new initiatives in NMFS and Regional responsibilities. Organizationally, it brought together at Oxford environmental interests previously associated with the Mortality Program, ongoing studies of the multilaboratory coastal contaminant program, and the established responsibilities of the surf clam program.

The following objectives were established:

1. Delineate the levels of pollutants in selected estuarine and coastal oceanic ecosystems, and the pathways by which pollutants are cycled through the system
2. Determine the ecological baselines against which the effects of pollutants can be measured
3. Define the physiological stresses induced in aquatic organisms by pollutants and establish the levels of tolerance for these materials
4. Identify pathological conditions that result from pollutorial stresses and determine how these conditions may limit the abundance and distribution of living aquatic resources
5. Develop cooperative interchanges with other agencies (Federal, State, university, industry) that will lead to a thorough understanding of pollutants in coastal ecosystems and the establishment of techniques for resource management that will resolve long-term effects of these materials
6. Describe the distribution of surf clams in the Middle Atlantic Bight, define the clam populations with respect to time, location, abundance, recruitment, mortality, and composition.

These objectives were to be reached in four coordinated phases that would intermesh over the entire period of research. Phase I would continue the surf clam studies in population dynamics and biology, emphasizing strong relationships with State and industry. Phase II would cover measurement of water quality and contaminants in the water column. Phase III would investigate contaminants in the substrate. Phase IV would measure contaminants in the living marine resources and study the possible limiting effects of pollution on the ecosystem.

Two estuarine river systems (the Choptank and the Wicomico) and one coastal area (off Chincoteague, Va.) were selected for initial intensive examination of water, sediments, and organisms. The staff is working to define the biological associations in the study areas, identify pathological conditions in the organisms, and correlate changes in species composition with ecological conditions. Special effort will be applied to understand contaminant cycles in the ecosystems and to determine the deleterious effects of specific contaminants at various trophic levels.

In addition to the above activities, a multilaboratory cooperative study of contaminants in the marine environment and related effects in aquatic organisms was initiated in the latter part of FY 71 as a preliminary to a long-range study. Each cooperating NMFS laboratory has been assigned a lead responsibility, although this assignment is not meant to be exclusive of other interests in the study areas. Two major operations are involved -- a general survey for mercury levels in organisms collected on the MARMAP groundfish survey and a broader study of many contaminants such as heavy metal ions, pesticides, plasticizers, and similar materials on selected target species in specific waste disposal sites within the New York Bight. Three sewage or sludge disposal sites were selected for comparisons with three uncontaminated control sites. Ecology Program responsibilities in this cooperative effort have been directed to collection of all materials on the Chincoteague control site, proper identification of species and preparation of tissues, and environmental observations.

Accomplishments of the Program are described in detail in the material which follows.

## SURF CLAM STUDIES

The surf clam (Spisula solidissima) program includes two broad areas of research -- population dynamics and biology -- and several specific objectives. Research cruises are conducted to provide information on clam distribution and density along the middle Atlantic coast and in areas of intense commercial fishing. Data are also gathered on other shellfish of potential commercial use. Interviews of vessel captains at ports where surf clam landings are very active supply information on fishing locations, catch, and effort. Study projects on the biology of surf clams are concerned with its reproduction, larval development, behavior, and growth.

A brief description of the last research cruise follows: Cruise 70-6 of the R/V Delaware II during August 11-25, 1970, surveyed ocean clam resources of the Middle Atlantic Bight. A total of 204 stations were sampled during 4-minute tows of a hydraulic surf clam dredge. The dredge had a 48-inch-wide knife and a submersible pump, rather than the conventional hose and deck pump. Station depths ranged from 36-240 feet. More than half of the stations (144) were located off New Jersey and the Delmarva Peninsula, where the surf clam fishery is most active.

Surf clams were taken at 84 stations and at an average depth of 87 feet. A catch of 1 bushel or more was made at only five stations; 0.2-0.9 bushels at 36 stations; and the remainder of the stations (43) yielded less than 0.2 bushels. Sixteen stations were sampled in a 1965 survey at locations near Barnegat Lightship where the fishery concentrated its efforts and these were compared with similar stations sampled in the 1970 survey. The average catch per tow was 50% lower in 1970 than in 1965.

Ocean quahogs (Arctica islandica) were taken at 108 stations during 1970, at an average depth of 138 feet. A catch of 1 bushel or more was made at 32 stations; 0.2-0.7 bushels at 42 stations; and the remainder of the stations (34) yielded less than 0.2 bushels.

Ocean quahogs were in 87% of the 60 stations taken at depths greater than 140 feet; surf clams were in only 8% of the stations. At depths less than 140 feet, ocean quahogs were in only 39% of the samples; surf clams were in 55%. The depth relationship for the two species is substantially the same as has been obtained from earlier surveys.

Data generated from seven cruises (1965-70) to sample ocean clam populations in the Middle Atlantic Bight were transcribed from the original sample sheets to a form for automatic data processing. These data include records of 2,006 cruise tows; 1,050 and 580 records of shell length measurements of surf clam and ocean quahogs, respectively. The data were transferred to the NMFS, Woods Hole, Mass., regional computer center in early August 1971.

From interviews in the surf clam fishery, we have found that the number of vessels has increased since 1965 together with a southward movement of fishing effort. The movement to more southern beds was a result of the discovery of new beds during research cruises and a decrease in catch on beds off New Jersey. New ports as far south as Norfolk, Va., are being used for landings. Beds off Delmarva Peninsula are being fished. The total of 66.8 million pounds of shucked meats landed in 1970 was the highest on record. Landings decreased to 51.5 million pounds in 1971 because of a large supply of processed clam products from the 1970 record year, a reduced market demand because of news reports of pollution problems in the Middle Atlantic Bight, and because of a greater effort to fish less dense offshore clams.

Significant quantities of surf clams and ocean quahogs inhabit the Continental Shelf beyond the 12-mile limit. To protect our fishing industry and prohibit foreign fishing vessels from taking them, they were placed on the list of Creatures of the Continental Shelf under a 1964 law commonly known as the "Bartlett Act." A member of the surf clam program spent about 2 months in Washington preparing justifications for including both clam species and other marine animals of commercial importance on the list.

## CHESAPEAKE BAY STUDY - CORPS OF ENGINEERS

### Objectives:

The objectives of the Chesapeake Bay Study can be divided into three broad categories. The first objective is to provide an understanding of the existing physical, chemical, biological, economic, and environmental conditions of the Bay. The second objective is to define the standards or levels of attainment for the water-land resources of the Bay which are required to meet the needs of the people. The third objective of the Study will be to provide a water-land management program to be used by all Bay management organizations for development, enhancement, conservation, preservation, and restoration of the Bay's resources.

### Accomplishments:

A cooperative report, designed to accomplish objective one was initiated by the Division of Economic Research, NMFS, College Park, Md., and the Oxford Laboratory on June 7, 1971. The Oxford responsibility was (1) to survey and summarize the types of equipment, gear, and techniques utilized by commercial fishermen in Chesapeake Bay, (2) prepare a comparative digest of existing State and Federal regulations governing the Chesapeake Bay area fishery, and (3) inventory existing fishery programs and management practices. The Oxford portion of this report was completed and submitted to the Regional Director on December 15, 1971.

### Future:

A proposal is currently being developed to fulfill the requirements of objective two, which is to define the future demand for commercial and sport fisheries.

The tentative outputs will be: (1) documentation of finfish and shellfish mass mortalities, location, and causes; (2) review and document areas closed due to pollution; (3) identify key areas of spawning, nursery, and harvesting of commercial species; (4) determination of the future demand for commercial and sport fisheries.

## CHOPTANK AND WICOMICO RIVERS BASELINE STUDIES

**Objectives:** The objectives of the Choptank-Wicomico Baseline Studies are: (1) to assess the finfish and benthic stocks in both tributaries; (2) to collect and analyze water, sediment, and tissue samples for evidence of heavy metals and chlorinated hydrocarbons, and to measure baseline levels of nutrients in both River systems; and (3) to map the types and distribution of sediments in the Choptank River.

**Accomplishments:** Stations have been established at stream confluences, municipalities, and spaced throughout the reach of the Rivers in order to effectively assess the effects of municipal and industrial effluents, agricultural runoff, the salinity gradient, and bottom types.

Biweekly water samples were collected for nutrient chemistry analysis during the initial phase of this Project but were discontinued when we were not able to obtain further cooperative analytical services. We are continuing to obtain samples for analysis of salinity, turbidity, oxygen, temperature, and pH for both Rivers.

Periodic fish trawling has revealed that the Choptank and Wicomico Rivers are utilized as nursery grounds for several important commercial fish species. Shad, herring, white perch, spot, croaker, striped bass, and sea trout have been taken in considerable numbers.

Benthic sampling with a modified oyster dredge and a Ponar grab is being carried out on a quarterly basis with the winter sampling currently underway.

Grab samples with a Ponar dredge are being taken to determine the distribution of sediments in the Choptank River. Sand-silt-clay determinations are being made in the Laboratory. In the future, we plan to correlate the distribution of benthic organisms with substrate types.

## CHINCOTEAGUE COOPERATIVE DUMP SITE PROJECT

- Objectives:** To collect selected target species (finfish, mollusks, and crustaceans) from an unpolluted coastal environment as a basis for comparison with similar species from known contaminated zones.
- Accomplishments:** An area, considered to be relatively unpolluted and remote from any known dump site or municipal-industrial complex, was selected in February 1971. This area is being studied as a control for comparison with dump site areas in the New York Bight. Three trawl stations at approximate depths of 25, 50, and 75 feet were selected and three target species (windowpane, rock crab, and surf clam) were chosen for monthly mercury analysis. Monthly trawling at the site has continued from April to the present. Trawling times have been standardized, with crab pots used to supplement trawl information. Data obtained on finfish biology include seasonal distribution and length frequencies. Seasonal distribution of larger invertebrates is also being monitored. Investigators from the Smithsonian Museum have participated on several cruises to collect cephalopods, and a graduate student from VIMS has become a regular participant to collect data on the biology of rock crabs.
- Future:** A year of trawling will be completed this month. With the possible shifting on contaminant sampling responsibilities to the Delaware II, it is not known whether the Project will be continued.

## PATHOLOGY PROGRAM

### Objectives:

The objective of the Program is to develop competence in determining the causes of mortalities, whether infectious, noninfectious, or environmentally induced, in living marine and estuarine resources of the United States. Current studies are concerned primarily with understanding the roles of environmental stresses, parasitism, and disease as they affect populations of marine mollusks, crustaceans, and fish. The present approach, although primarily observational, is supplemented with experimental studies whenever possible.

### Accomplishments:

The Pathology Program was restructured to include two major groupings, Comparative Pathology and Experimental Pathology. Represented in the Comparative Pathology Project are those individuals conducting primarily histological and disease diagnostic studies of mollusks, crustaceans, and fish. The Experimental Pathology Project presently includes the disciplines of immunology and microbiology. Individuals in these basic science areas conduct research which is more experimental than observational in character.

Notable accomplishments of the Pathology Program for the past year are as follows:

#### Comparative Pathology

Mollusks - Provision of diagnostic services upon request of Federal, State, and foreign agencies continued to be the major undertaking of the research staff. Examination of Korean oysters (Crassostrea gigas) for the State of Washington documented the presence of haplosporidan parasites in two seed oysters. Studies with west coast mollusks were continued and included an attempt to demonstrate, in the laboratory, that mussels (Mytilus edulis) with neoplastic disease eventually die from the disease. Results to date, however, have been inconclusive. Several additional genera of bivalve mollusks from the west coast were examined to determine the prevalence of neoplasms. Field and laboratory studies of Maine oysters (Crassostrea virginica) exhibiting Type A inclusions have been expanded. The geographic distribution of clams (Macoma balthica) with high prevalences of neoplastic disease is being determined by obtaining animals from as many sources as possible. Clams (Rangia cuneata) from the Wicomico River, Md., are being examined to determine the effects of creosote pollution.

Crustaceans - Activity in this area was curtailed due to the assignment of personnel to other research. A total of 128 cancer crabs (Cancer irroratus) were examined to determine the histopathological effects of environmental stress. Crabs from the New York dump site and a control area offshore at Chincoteague, Va., were similar histologically. Extensive gill fouling and possible gill epithelium hyperplasia were noted in cancer crabs from both sites. The parasite fauna of all crabs examined was less abundant than that of other crab species. Whether this is characteristic of the cancer crab or was an anomalous observation remains to be determined. The epizootiology of gray crab disease was studied during the spring epizootic in Chincoteague Bay, Va. Intensive study of blue crabs during this period has provided definitive information on the course of the disease and its effect on blue crabs.

Fish - Fish pathology is a new discipline of research at this Laboratory. Procedural methodologies have been developed appropriate for the fixation, histological preparation, and microscopic examination of fish tissues. Most of the fish examined were collected by participating in offshore cruises made to survey groundfish abundance. In all, 38 days were spent on the Albatross IV collecting fish and excising tissues for microscopic examination. The majority of 1,500 slides examined depict normal tissues. Myxosporidan infections were not uncommon and frequently were observed in the gall bladder and kidney tubules. Significant findings include: new host records for Ichthyophonus hoferi, possible proliferative lesions in elasmobranchs and benign tumors from weakfish and longnose gar. Considerable progress has been made in the preparation of fish tissues for examination by electron microscopy. Kidney tissues from assorted fish have been suitably fixed, sectioned, mounted on grids, and stained.

#### Experimental Pathology

Immunology - All research activity has been directed at elucidating the immune response in blue crabs. Titers of natural hemagglutinins have been determined against various RBC and crabs have been immunized with RBC to elicit an immune response. Physicochemical analysis of the hemagglutinating substance has revealed it to be heat labile, pH sensitive, approximately 150,000 molecular weight, partially inactivated by phenol and urea, resistant to diethyl-ether, sodium citrate chelation, and resistant to freezing and thawing. Studies are in progress to characterize normal and "immune" crab sera electrophoretically. Preliminary results have shown the presence of five serum protein bands with cellulose acetate electrophoresis.

Microbiology - Several manuscripts were published resulting from bacteriological research conducted with clams and oysters. Additional bacterial isolates were obtained and identified from cardiac fluid of normal oysters. In one oyster the predominant bacteria were identified as being Vibrio anguillarum. However, no cardiac hypertrophy or other gross or microscopic pathology was noted. Six Japanese and two domestic strains of Vibrio parahaemolyticus have been reconstituted from lyophilized cultures for challenge experiments with soft clams. Results of studies in progress using large numbers of these bacteria to challenge soft clams have shown that none of the bacteria used are pathogenic for the clams. Additional studies will be conducted varying the bacterial portal of entry. As part of an assignment to the Center's Special Studies Unit, an evaluation was made of the microbiological research being conducted in Center laboratories.

In addition to the research activities conducted by Pathology Program staff, the following accomplishments are noted:

Electron Microscope - After considerable time spent investigating the merits of particular electron microscopes and subsequently preparing a justification for purchase, the Pathology Program obtained a Zeiss EM 9S-2 transmission electron microscope on August 17. The room housing the EM was appropriately prepared and a sink installed for developing negatives without using the Laboratory darkroom. Major equipment requirements for routine electron microscopy were met by returning the Porter Blum MT-2 ultramicrotome to the factory for reconditioning and by purchasing an LKB Instruments glass knifemaker. Numerous other ancillary expendable and nonexpendable items were also purchased. The electron microscope and supporting equipment are operational and should provide the Program with a sophisticated tool for investigations in virology and cellular ultrastructure.

Howard University Contract - On April 1, a research contract was awarded to Howard University in Washington, D. C., to study the effects of the bacterium Vibrio parahaemolyticus on juvenile, cultchless oysters (Crassostrea virginica). Experiments were conducted in seawater aquaria containing oysters and bacteria. Sufficient bacteria were added to achieve concentrations of  $3 \times 10^9$  V. parahaemolyticus per ml. The milky turbidity resulting from the addition of such large numbers of bacteria disappeared within 24 hours and could not be made to reappear by stirring. At the end of a 30-day period (during which seawater was added daily to a predetermined volume), the oysters were aseptically sampled for the presence of V. parahaemolyticus. Samples of oyster tissue were fixed in glutaraldehyde for examination with electron microscopy.

Cultures of oyster shell liquor and homogenized tissues yielded almost pure cultures of V. parahaemolyticus. No mortalities were noted in any of the experiments and on the basis of gross macroscopic examination, it appears that the bacteria are not pathogenic for the oysters. The electron microscope studies have not been completed.

West Coast Aquaculture - A unique opportunity to study diseases of saltwater-reared Pacific coast salmon was provided by personnel at the Seattle Laboratory of the Northwest Fisheries Center. Intensive culture of several salmon species and their hybrids has periodically resulted in extensive losses due to proliferation of bacterial pathogens. Arrangements have been made to conduct bacteriological, histological, and immunological studies on these fish. At this time of year, ambient Puget Sound temperatures are not conducive to proliferation of the pathogen; infected fish, therefore, are not available. Bacterial cultures isolated from kidneys of infected fish were received in poor condition and could not be used for further laboratory study. It is anticipated that other cultures will be forthcoming together with fish suitably fixed for histopathological examination.

## HISTOLOGICAL SERVICES

**Objectives:** To provide histological services needed to support active projects in the Pathology and other Laboratory programs. These include routine histological and histochemical procedures on specimens to be examined for disease prevalence or other abnormal conditions. As time permits, to develop and test new techniques for preparing tissues of marine animals for histopathological examination and electron microscopy.

**Accomplishments:** Over 9,000 histological slides were prepared from approximately 6,500 marine animals. Various tissues from mollusks, crustaceans, and fish preserved on cruises to the New York Bight and Chincoteague contaminant sites were processed for studies on normal histology and possible pathology. Target species (windowpane flounder, cancer crab, and surf clam) as well as some seasonal species of vertebrates and invertebrates were also collected and processed for histopathological examination. A new collection series of Rangia cuneata from the Wicomico River, Md., was initiated to determine the effects of creosote pollution. The regular monthly sample of mussels (Mytilus edulis) from Yaquina Bay, Oreg., was accompanied in December by bentnose clams (Macoma nasuta) from Yaquina Bay and soft clams (Mya arenaria) from Umpqua Bay.

Small pieces of tissue from oysters and clams were cultured in thioglycollate medium to determine the presence of the marine fungus, Labyrinthomyxa marina. Samples of oysters (Crassostrea virginica) were received from three areas in Mobile Bay, Ala., as a follow-up study on the previous year's survey of seven areas. Labyrinthomyxa marina was present in only one area, Cedar Bar (8%). A sample of Macoma balthica from the York River, Va., was 76% positive for L. marina, and Indian River oysters (C. virginica) from Delaware were also infected (27%).

Oyster larvae of various sizes have been fixed in Davidson's, embedded, and sectioned. A 6½-hour processing technique has proved satisfactory for the routine histological examination of these microscopic oysters and also for other very small specimens. Appropriate stains for the diagnosis of bacterial diseases in the larvae must now be tested. Much time was spent trying to standardize Schiff's stain for the Feulgen and Periodic-Acid Schiff reaction. As yet, no conclusions can be made; however, the investigation will continue until positive results are obtained.

**Future:** To provide routine and special histological and histochemical services in support of Laboratory projects and to extend the applicability of present techniques to additional marine animals, either vertebrate or invertebrate.

## MOLLUSCAN PATHOLOGY

### Objectives:

(1) To undertake in depth studies of infectious and noninfectious diseases of mollusks; (2) to study the histopathological effects of environmental stress on mollusks; and (3) to provide histological examination and evaluation of molluscan tissues for Federal, State and foreign agencies, and private industry.

### Accomplishments:

West Coast - Quarterly samples of Mytilus edulis from Yaquina Bay, Oreg., continued to show an increase in the prevalence of neoplasms during the fall and winter months. Mortalities due to neoplasms in mussels held in Oxford aquaria at ambient Yaquina Bay temperature and salinity were the same (10%) as those of duplicate samples examined at the beginning of the experiment. Four other genera of bivalve mollusks (Crassostrea gigas, Macoma nasuta, Mya arenaria, and Ostrea lurida) from Yaquina Bay are being examined quarterly to determine gross histology and neoplasm prevalence. A pre-importation survey for the State of Washington revealed the presence of a haplosporidan infection in Korean seed oysters (C. gigas).

East Coast - A periodic survey for the State of Delaware of five areas in Delaware Bay consistently shows low prevalences of Minchinia nelsoni. Monthly samples of Maine oysters, C. virginica, are being examined to determine the epizootiology of herpesvirus infections. The first documentation of oyster herpesvirus has been submitted for publication. A paper describing the epizootiology and pathology of a neoplasm in Macoma balthica has been submitted for Laboratory review.

The clam Rangia cuneata from the Wicomico River, Md., is being examined to determine the effects of industrial creosote pollution. Spisula solidissima and Tellina sp. from the New York dump site are being examined for histopathology in conjunction with the coastal contaminant survey.

A re-examination of 3,603 oyster tissue slides from Marumsco Bar, Md., revealed a prevalence of less than 1% of "ovacystis." The disorder of the ova occurred most frequently during the summer months when the incidence of "ovacystis" averaged 5%.

### Future:

Increased emphasis will be placed on the histopathological effects of stressed environments on mollusks. Histological examination of molluscan tissues for other agencies will continue to be provided on request.

## CRUSTACEAN PATHOLOGY

**Objectives:** Objectives in the Crustacean Pathology Project were limited to two areas of research in 1971. These were: (1) continuing studies of gray crab disease and (2) studies on cancer crabs from a stressed environment.

An attempt was made to answer five specific questions about the epizootiology of gray crab disease by studying the spring epizootic in Chincoteague Bay, Va. To be determined were: the length of the epizootic, the peak prevalence of the disease during the epizootic, how long an infected crab would live, the possibility of recovery from the disease, and the probability of the disease being responsible for mass mortalities of blue crabs.

Studies of crabs from a stressed environment were conducted by examining tissues of Cancer irroratus from the New York dump site and from waters offshore of Chincoteague, Va. (a control area). Tissues were examined histologically and were analyzed for heavy metal content.

**Accomplishments:** Gray crab disease studies were successfully conducted and a manuscript is in preparation. The length of the epizootic appears to be about 1 month. A peak prevalence of 17% was observed in the June 15 sample. Death occurred approximately 1 week after amoebae were first found in the peripheral circulation and no crabs were observed to recover from the disease. It was concluded that the disease could definitely be responsible for previously observed mass mortalities of blue crabs.

A total of 128 C. irroratus were collected for study between May and September. Ninety of these were from the New York dump site and 38 were from the control area. It was found that these animals disappeared from the control area during the summer months. Results of examination of five tissues from each crab were negative except for extensive fouling of the gills and some possible hyperplasia of the gill epithelium of some specimens from both areas. Heavy metal analysis has not yet been completed.

**Future:** Further research on gray crab disease is planned during the spring epizootic. With the cooperation of Dr. Pauley, it is hoped that the cellular response of the crabs to the amoebae can be elucidated and that serological changes of infected crabs can be studied. With the acquisition of a crustacean pathologist, all new research will be redirected to fish pathology.

Smears of fish blood will be collected whenever possible. Piscine erythrocytic necrosis is a little known disease which deserves further study. It affects numerous commercially important species and may be of viral origin.

## FISH PATHOLOGY

### Objectives:

(1) To establish normal histology on important marine fish species; (2) to examine and describe any histopathological lesions found in fish collected during contaminant studies (R/V Dolphin and Cynthia cruises), spring and fall groundfish surveys of the Middle and North Atlantic (R/V Albatross IV), and miscellaneous samples sent to the Laboratory for examination; (3) to become familiar with the operation and maintenance of the Zeiss EM 9S-2 electron microscope and equip an electron microscopy preparative laboratory.

### Accomplishments:

Thirty-eight days were spent on board the R/V Albatross IV and R/V Dolphin collecting fish samples for heavy metal analyses and histopathology. Approximately 1,500 microscope slides have been examined. The majority of these slides have revealed either normal tissues, or various minor parasitic infections (primarily myxosporidians in the gall bladders and kidney tubules). Significant findings include the following: (1) The fungal parasite Ichthyophonus hoferi was found in 1 of 10 longhorn sculpins (Myoxocephalus octodecemspinosus), which is a new host record, in 1 of 10 yellowtail flounder (Limanda ferruginea), and in 2 of 10 Atlantic cod (Gadus morhua). All specimens were taken in the Gulf of Maine and selected randomly for tissue samples. (2) An apparent proliferative lesion was found in the submucosa at the junction of the esophagus and stomach in two dogfish sharks (Squalus acanthias) and one big skate (Raja ocellata). (3) A liver granuloma of unknown etiology was found in the wolffish (Anarhichas lupus). (4) Large cysts of unknown etiology were seen in the kidneys of windowpane flounders (Scophthalmus aquosus) and northern searobins (Prionotus carolinus). (5) A lipoma from a weakfish (Cynoscion regalis) collected at Chincoteague, Va., was discovered. (6) A benign epithelioma was diagnosed from the pectoral fin of a longnose gar (Lepisosteus osseus) from Beaufort, N. C.

The electron microscope and the electron microscopy preparative laboratory are both functional and ready for use.

### Future:

Manuscripts on the new host record for Ichthyophonus hoferi, the lipoma in weakfish, and the epithelioma in the longnose gar are in preparation.

## MICROBIOLOGY

### Objectives:

The general objectives of the Microbiology Project have been to diagnose diseases of microbial etiology in estuarine and coastal fauna, and experimentally to determine the pathogenicity of representative bacteria derived from aquatic environments for bivalve mollusks and blue crabs.

### Accomplishments:

A syndrome involving hypertrophy of the pericardium in Chesapeake Bay oysters was found to be associated with high concentrations of Vibrio anguillarum in the pericardial fluid and the condition was designated "cardiac vibriosis." Low levels of the same bacterium were found present in tissues of apparently normal oysters.

Adult oysters were challenged by acute and chronic exposure to vibrios implicated in epizootics of bacillary necrosis in larval bivalve mollusks. Adult bivalves proved to be refractory to high concentrations of V. anguillarum and V. alginolyticus. On the other hand, soft-shell clams challenged by injection with viable organisms into the heart and siphons proved to be susceptible to infection and death by several of these Vibrio species, but were unaffected by injection of heat-killed suspensions.

Clams similarly challenged with eight domestic and Japanese strains of V. parahaemolyticus showed no mortality or evidence of pathology, while traumatized blue crabs held in suspensions of these bacteria showed no increase in mortality over unexposed controls.

### Future:

It is recommended that future activities concentrate on the prevalence and significance of V. parahaemolyticus in estuarine and coastal biota, environments, and foods.

## IMMUNOLOGY

- Objectives:** To examine various facets of the immunological capabilities of the blue crab and other shellfish.
- Accomplishments:** Attempts have been made to immunize blue crabs with vertebrate RBC. Slight hemagglutinating titer elevation has usually occurred; however, the response appears to be nonspecific since homologous and heterologous antigen and saline increase the titer against rabbit RBC. The crabs possess natural hemagglutinins against vertebrate RBC; titers range from 8-64. Physicochemical analysis of this hemagglutinating substance has been initiated to better understand the immunological function of the molecule. To date, it has been shown that the hemagglutinin is: (1) heat labile at 60°C; (2) labile at pH extremes of 5 and 12; (3) a large molecule greater than 150,000 molecular weight, but which possibly contains subunits with molecular weights of less than 10,000 that are inactivated by dialysis; (4) partially to totally inactivated by phenol and urea; (5) resistant to diethyl-ether, sodium citrate chelation, prolonged freezing, and repeated freezing and thawing. Five serum protein bands can be demonstrated by cellulose-acetate electrophoresis. No additional protein bands have been detectable yet by electrophoresis subsequent to antigenic challenge.
- From this data it can be assumed that the hemagglutinin is a protein of high molecular weight, possibly composed of or containing small subunits not stabilized by calcium or magnesium ions.
- Future:** Studies will provide (1) a more detailed account of the properties of crab hemagglutinin; (2) what role this substance plays in the immune mechanism of blue crabs; (3) extension of existing studies to other shellfish to learn more about their immune mechanisms.

## MOLLUSCAN MORTALITY STUDIES

### State of Maryland Cooperative Studies - PL 88-309 Project No. 3-131-R

#### Objectives:

(1) To regularly monitor shellfish beds in the Maryland waters of Chesapeake Bay for mortalities and to determine the distribution and prevalence of molluscan parasites and diseases; (2) to establish efficient field methods for large-scale capture and maintenance of oyster seed; (3) to compare rates of mortality and Minchinia nelsoni infection in potentially disease-resistant and susceptible populations of oysters.

The data obtained through the three phases of this Project are used by the Maryland Fish and Wildlife Administration to develop more effective procedures for the management of commercially important molluscan shellfish resources in Chesapeake Bay. The Project is a continuation and expansion of an earlier study known as the "Manokin River Project." With reassignment of priorities, the current study has continued all phases of the former.

#### Phases of Research:

The major phase of the Project concerns the expanded parasite distribution study of oysters and several other species of mollusks. Included in this study are (1) examination of semiannual oyster samples of 22 Bay-wide areas; (2) quarterly samples of eight natural oyster bars in the Manokin River; (3) monthly samples of soft clams from known mortality and non-mortality areas; (4) monthly samples of hard clams from two areas; and (5) "panic" and "special service" samples. The histological examination of this material was expanded to include studies of approximately 20 pathological conditions and parasitic infestations of the animals examined. To date, our work has demonstrated a continuing trend of depressed levels, in some areas studied, of the serious oyster pathogens M. nelsoni and Labyrinthomyxa marina.

Phase two involves large-scale experimental raft culture of oysters using field stations in the Manokin River. The results of all the work done in this phase, with the exception of the 1971 season, have demonstrated that the Manokin River is an excellent area for the off-bottom capture and growth and on-bottom maintenance of oyster spat. In 1971 the oyster set was very poor all over the Bay. Still, minimum commercial set was achieved at one station in the River.

The third phase of the Project has been concerned with disease resistance-susceptibility studies in the Manokin River and the Chincoteague Bay. Although results were poor and inconclusive in the early days of the study, the work was continued because it was felt that the data was beginning to indicate evidence in support of the theory of disease resistance. During sampling of Manokin-held trayed stocks early in 1971, it was discovered that the trays had been torn apart, lines were cut, and the oysters in the trays were gone. Anonymous patent tonging has been implicated in the deed. As a result, fieldwork in this phase has been temporarily suspended.

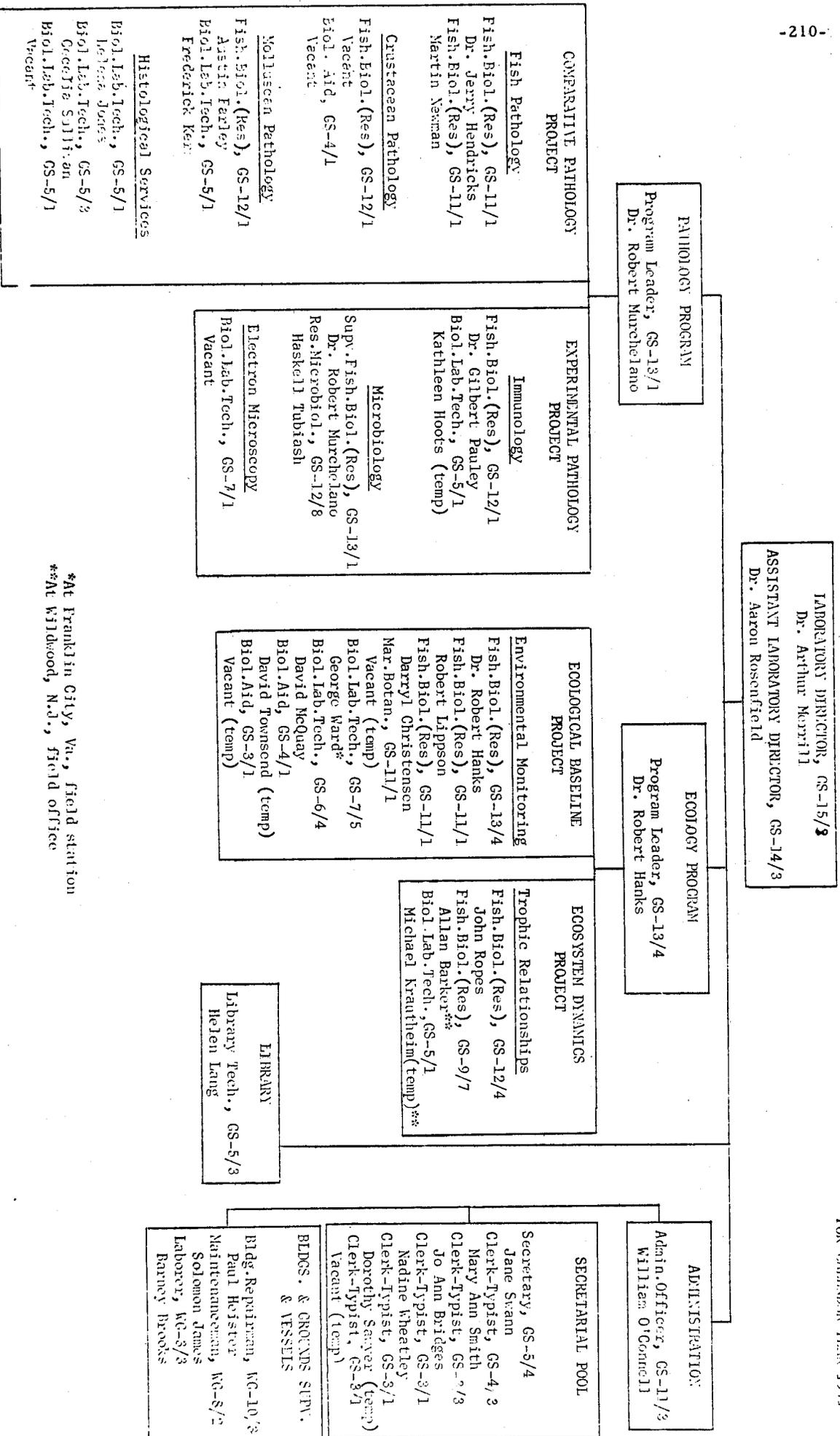
Future:

It is planned that this Project be continued for the full 3-year term if the results and data obtained will support it.

The following table summarizes non-Laboratory activities performed by the Director of the Oxford Facility and his staff at NOAA, NMFS, and Center Offices. Documentation of these assignments can be found in our monthly and semiannual narrative reports.

<u>Assignment</u>	<u>Days away from the Laboratory</u>			
	<u>Merrill</u>	<u>Rosenfield</u>	<u>Hanks</u>	<u>Murchelano</u>
Water Resources and Corps Ches. Bay Study	3		4	1
Prelim. Planning June to July - Contaminants	5	1	9	6
Sea Grant Activities	1		2	
NOAA/NMFS Ad Hoc Planning Committee	36		23	
Other (Submersibles, Handbook, Budget, Citizens Council)	<u>5</u>	<u>12</u>	<u>3</u>	<u>—</u>
Total*	50	13	41	7

\*Total of 111 hours does not include approximately an equal amount of time spent at Oxford working on assignments, nor does it include subsidiary assignments to other administrative, research, and clerical staff members.



\*At Franklin City, Va., field station  
\*\*At Widdowood, N.J., field office

PUBLICATIONS OF THE NEMS MIDDLE ATLANTIC COASTAL FISHERIES CENTER  
OXFORD LABORATORY, OXFORD, MARYLAND 21654

PUBLISHED 1971

- \*\*BARKER, A. M. 1971. Report to the Government of Kenya on investigations into pelagic, demersal and crustacean resources off the coast of Kenya. Rep. FAO/UNDP(TA), (2732): 31 + vii p., 1969.
- BARKER, A. M. and J. W. ROPES. 1971.. The Atlantic surf clam fishery - 1969. Commer. Fish. Rev. 33(6): 35-42.
- \*CHRISTENSEN, D. J. 1971. Early development and chromosome number of the polyclad flatworm, Euplana gracilis. Trans. Amer. Microsc. Soc. 90(4): 457-463.
- \*\*COMBS, T. J., R. A. MURCHELANO and F. JURGEN. 1971. Yeasts isolated from Long Island Sound. Mycologia 63(1): 178-181.
- \*\*COUCH, J. A. 1971. Aspects of morphogenesis in Lagenophrys callinectes (Ciliata: Peritrichida). Abstract. J. Protozool. 18(Suppl.): 22.
- COUCH, J. A. 1971. Sarcoma-like disease in a single specimen of the American oyster. Abstract. In R. M. Dutcher (ed.), Comparative Leukemia Research 1969. Bibl. Haematol. No. 36, p. 647. S. Karger, Basel, Switzerland.
- FARLEY, C. A. and A. K. SPARKS. 1971. Proliferative diseases of hemocytes, endothelial cells, and connective tissue cells in mollusks. In R. M. Dutcher (ed.), Comparative Leukemia Research 1969. Bibl. Haematol. No. 36, p. 610-617. S. Karger, Basel, Switzerland.
- HANKS, R. W. 1971. Minor species -- bay scallops, razor clams, and mussels. Annu. Rep. Amer. Malacol. Union, Bull. No. 37: 15-16.
- MERRILL, A. S. 1971. The family Architectonicidae (Gastropoda: Mollusca) in the western and eastern Atlantic. Abstract. Dissertation Abstr. Int. 31(9).
- MERRILL, A. S. 1971. Symposium on commercial marine mollusks of the United States: Introduction; The Sea Scallop; Summary. Annu. Rep. Amer. Malacol. Union, Bull. No. 37: 9-11, 24-25, 38-40.

- MERRILL, A. S. and H. S. LANC. 1971. Pollution and commercial marine mollusks. Annu. Rep. Amer. Malacol. Union, Bull. No. 37: 36-38.
- MERRILL, A. S. and H. S. TUBIASH. 1971. Molluscan resources of the Atlantic and Gulf coast of the United States. Proc. Symp. Mollusca, Mar. Biol. Ass. India, Part III, Symp. Ser. 3, p. 925-948.
- \*\*MORABELANO, R. A. 1971. Diseases of marine animals. Maritimes 15(2): 7-9.
- NEWMAN, M. W. 1971. A parasite disease survey of Connecticut oysters. Proc. Nat. Shellfish. Ass. 61: 59-63.
- NEWMAN, M. W. 1971. A possible neoplastic blood disease of blue crabs. Abstract. In R. M. Dutcher (ed.), Comparative Leukemia Research 1969. Bibl. Haematol. No. 36, p. 648. S. Karger, Basel, Switzerland.
- \*\*PAULEY, G. B. and S. M. KRASSNER. 1971. The effect of temperature on the number of circulating hemocytes in the California sea hare, Aplysia californica. Calif. Fish Game 57(4): 308-309.
- \*\*PAULEY, G. B., G. A. GRANGER and S. M. KRASSNER. 1971. Characterization of natural agglutinin present in the hemolymph of the California sea hare, Aplysia californica. J. Invertebr. Pathol. 18(2): 207-218.
- \*\*PAULEY, G. B., S. M. KRASSNER and F. A. CHAPMAN. 1971. Bacterial clearance in the California sea hare, Aplysia californica. J. Invertebr. Pathol. 18(2): 227-239.
- ROPES, J. W. 1971. Percentage of solids and length-weight relationship of the ocean quahog. Proc. Nat. Shellfish. Ass. 61: 88-90.
- ROPES, J. W. 1971. Surf clams and ocean quahogs. Annu. Rep. Malacol. Union, Bull. No. 37: 22-23.
- ROPES, J. W. and A. S. MERRILL. 1971. LP<sup>®</sup> polysulfide proves No. 1... even with surf clams. Thiokol Chem. Corp., Materially Speaking No. 12, p. 7-11.
- ROSENFELD, A. 1971. Oyster diseases in North America and some methods for their control. Proc. Univ. Del. Conference on Artificial Propagation of Commercially Valuable Shellfish - Oysters, p. 67-78.
- SAWYER, T. K. 1971. Acanthamoeba griffini, a new species of marine amoeba. J. Protozool. 18(4): 650-654.
- SAWYER, T. K. 1971. Isolation and identification of free-living marine amoebae from upper Chesapeake Bay, Maryland. Trans. Amer. Microsc. Soc. 90(1): 43-51.

- SIMNER, T. K. and L. R. BUCHANAN. 1971. Contamination of tissue sections of the American oyster by cysts of Acanthamoeba sp. J. Invertebr. Pathol. 18(2): 300.
- \*SIMNER, T. K. and J. L. GRIFFIN. Acanthamoeba commandoni and A. appononia: taxonomic characteristics of mitotic nuclei, "centrosomes" and cysts. J. Protozool. 18(3): 382-388.
- SILBY, W. N. 1971. A hermaphroditic soft-shell clam, Mya arenaria, from Unpqua Bay, Oregon. Res. Rep. Fish Comm. Oreg. 2(1): 100-102.
- SILBY, W. N. 1971. Off-bottom oyster culture in North America. In Proc. Conference on Shellfish Culture, Reg. Mar. Resour. Council, Nassau-Suffolk Reg. Plann. Bd. and Suffolk County Community Coll., p. 71-77.
- \*SILBY, W. N. 1971. Oyster culture research -- off-bottom growing techniques. Amer. Fish Farmer 2(9): 16-21.
- SILBY, W. N. 1971. Oyster farming in North America. Proc. 1st Ann. Workshop, World Mariculture Society, p. 39-44.
- SILBY, W. N. 1971. Oysters in 3-D. U.S. Dep. Commer., Nat. Oceanic Atmos. Admin., NOAA 1(4): 8-11.
- \*SPRAGUE, V. and J. A. COUCH. 1971. An annotated list of protozoan parasites, hyperparasites and symbionts of decapod Crustacea. Abstract. Proc. Nat. Shellfish. Ass. 61: 6.
- \*SPRAGUE, V. and J. A. COUCH. 1971. An annotated list of protozoan parasites, hyperparasites and commensals of decapod Crustacea. J. Protozool. 18(3): 526-537.
- TUBELASH, H. S. 1971. The soft-shell clam, Mya arenaria, a convenient laboratory animal for screening pathogens of bivalve mollusks. Appl. Microbiol. 22(3): 321-324.
- TUBELASH, H. S., S. V. OTTO and R. HUGH. 1971. Cardiac vibriosis, an infection of the American oyster, Crassostrea virginica. Bacteriol. Proc. 1971, p. 47.

IN PRESS

HOCHBERG, F. G. and J. A. COUCH. Biology of cephalopods. Special IRLI  
Teklite Summary Publication.

SUBMITTED

FARLEY, C. A., W. G. BENFIELD, G. KASNIC, Jr. and W. S. FOSTER. Oyster  
(Crassostrea virginica) herpesvirus. To be submitted to Science.

FRANZ, G. E., L. R. BUCHANAN, C. A. FARLEY and H. A. CARR. Minchimo  
nelsoni in oysters from Massachusetts waters. To be submitted to  
Proceedings of the National Shellfisheries Association.

APPENDIX G

EQUAL EMPLOYMENT OPPORTUNITY

United States of America DEPARTMENT OF COMMERCE	DEPARTMENT ADMINISTRATIVE ORDER 202-713	
DEPARTMENT ADMINISTRATIVE ORDER SERIES	DATE OF ISSUANCE	EFFECTIVE DATE
	October 17, 1969	October 17, 1969
SUBJECT		
EQUAL EMPLOYMENT OPPORTUNITY		

- Section 1. Purpose  
 Section 2. Equal Opportunity Without Regard to Race, Color, Religion, Sex, or National Origin  
 Section 3. Minority Group Statistics System  
 Section 4. Equal Opportunity Without Regard to Politics, Marital Status, or Physical Handicap  
 Section 5. Effect on Other Orders

SECTION 1. PURPOSE.

.01 The purpose of this order is to set forth the policy and procedures of the Department of Commerce with respect to equal employment opportunity.

\*.02 This is a general revision of the order to incorporate a number of changes resulting from the issuance of Executive Order 11478 and certain amendments to Civil Service Regulations. References in parentheses following paragraph captions are to related sections of the Civil Service Regulations.

.03 This order supplements Executive Order 11478, dated August 8, 1969, "Equal Employment Opportunity in the Federal Government"; Part 713 of the Civil Service Regulations, and Chapter 713 of the Federal Personnel Manual. The changes made by Amendment 1 are effective April 1, 1971.\*

SECTION 2. EQUAL OPPORTUNITY WITHOUT REGARD TO RACE, COLOR, RELIGION, SEX, OR NATIONAL ORIGIN.

.01 General Provisions.

- a. Purpose. (713.201) This section sets forth regulations under which the Department of Commerce administers its program for equal opportunity in employment and personnel operations without regard to race, color, religion, sex, or national origin; prescribes a procedure for processing complaints of discrimination; provides for notice of a complainant's right of appeal to the Civil Service Commission; and provides for the submission of reports to the Commission.
- b. Applicability. (713.201) This section applies to all employees of the Department of Commerce and to all applicants for employment in the Department of Commerce except aliens employed or applying for employment outside the limits of the United States.

Amendment 1  
 April 19, 1971

DAO 202-713

- 2 -

2.01c.

c. General Policy. (713.202) It is the policy of the Department of Commerce to provide equal opportunity in employment for all persons, to prohibit discrimination in employment because of race, color, religion, sex, or national origin, and to promote the full realization of equal employment opportunity through a continuing affirmative program in the Office of the Secretary and in each operating unit of the Department.

d. Program Requirements. (713.203)

1. The head of each office in the Office of the Secretary and of each primary and constituent operating unit in the Department shall exercise personal leadership in establishing, maintaining, and carrying out a continuing affirmative program designed to promote equal opportunity in every aspect of personnel policy and practice in the employment, development, advancement and treatment of employees.

2. Each office in the Office of the Secretary and each operating unit in the Department shall, to the maximum extent possible:

(a) Provide sufficient resources to administer the equal employment opportunity program in a positive and effective manner;

(b) Conduct a continuing campaign to eradicate every form of prejudice or discrimination based upon race, color, religion, sex, or national origin, from personnel policies and practices and working conditions in the Department, including disciplinary action against employees who engage in discriminatory practices;

(c) Utilize to the fullest extent the present skills of employees by all means, including the redesigning of jobs where feasible so that tasks not requiring the full utilization of skills of incumbents are concentrated in jobs with lower skill requirements;

(d) Provide the maximum feasible opportunity to employees to enhance their skills through on-the-job training, work-study programs, and other training measures so that they may perform at their highest potential and advance in accordance with their abilities;

(e) Communicate orally and in writing the Department's equal employment opportunity policy and program and its employment needs to all sources of job candidates without regard to race, color, religion, sex, or national origin; and solicit their recruitment assistance on a continuing basis;

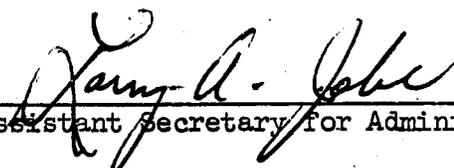
(f) Actively participate at the community level with other employers, with schools and universities, and with other public and private groups in cooperative action to improve employment opportunities and community conditions that affect employability;

(g) Review, evaluate, and control managerial and supervisory performance in such a manner as to insure a continuing affirmative application and vigorous

United States of America DEPARTMENT OF COMMERCE		DEPARTMENT ADMINISTRATIVE ORDER <u>202-713</u> Amendment 1	
<b>DEPARTMENT ADMINISTRATIVE ORDER SERIES</b>		DATE OF ISSUANCE April 19, 1971	EFFECTIVE DATE April 19, 1971
SUBJECT  EQUAL EMPLOYMENT OPPORTUNITY			

Page Insertions. Department Administrative Order 202-713, dated October 17, 1969, is amended by inserting pages as noted below:

- a. Section 1 is amended to reflect implementation of changes in Part 713 of the Civil Service Regulations which are effective April 1, 1971.
- b. Paragraph 2.02, "Processing Individual Complaints of Discrimination," is amended to reflect changes in the relationships between discrimination complaint procedures, adverse action appeals procedures, and grievance procedures. These changes are effective with respect to complaints, appeals, and grievances filed on or after April 1, 1971.

  
Assistant Secretary for Administration

Pages Changed

Remove pages	Dated	Insert Pages	Dated
1 and 2	(undated)	1 and 2	April 19, 1971
9 thru 14	(undated)	9 thru 14	

2.02f.

- 9 -

DAO 202-713

Opportunity (a) to investigate all aspects of the complaint, (b) to require all employees of the Department to cooperate with him in the conduct of the investigation, (c) to require employees of the Department having knowledge of the matter complained of to furnish testimony, (d) to administer oaths in connection with taking testimony or affidavits, and (e) to incur otherwise allowable expenses necessary to the conduct of the investigation. All statements of witnesses shall be under oath or affirmation, without a pledge of confidence.

2. The investigation shall include a thorough review of the circumstances under which the alleged discrimination occurred, the treatment of members of the complainant's group identified by his complaint as compared with the treatment of other employees in the organizational segment in which the alleged discrimination occurred, and any policies and practices related to the work situation which may constitute, or appear to constitute, discrimination even though they have not been expressly cited by the complainant. Information needed for an appraisal of the utilization of members of the complainant's group as compared to the utilization of persons outside the complainant's group shall be recorded in statistical form in the investigative file, but specific information as to a person's membership or nonmembership in the complainant's group needed to facilitate an adjustment of the complaint or to make an informed decision on the complaint shall, if available, be recorded by name in the investigative file. (As used in section 2 of this order, the term "investigative file" shall mean the various documents and information acquired during the investigation--including affidavits of the complainant, of the alleged discriminating official, and of the witnesses, and copies of, or extracts from, records, policy statements, or regulations of the agency--organized so as to show their relevance to the complaint or the general environment out of which the complaint arose.) If necessary, the investigator may obtain information regarding the membership or nonmembership of a person in the complainant's group by asking each person concerned to provide the information voluntarily; he shall not require or coerce an employee to provide this information.

3. The investigator, upon the completion of his investigation, shall transmit the investigative file to the appropriate Equal Employment Opportunity Officer, and at the same time shall notify the Special Assistant for Equal Opportunity in writing that he has completed his investigation.

f. Adjustment of Complaint. (713.217)

1. The Equal Employment Opportunity Officer shall furnish a copy of the investigative file to the complainant or his representative and shall provide an opportunity for adjustment of the complaint on an informal basis after the complainant has reviewed the investigative file. (As used in this subparagraph .02f., "adjustment" means any mutually acceptable disposition of the complaint without further adjudication. This may include agreement that the complaint is not substantiated by the investigative file.) If an adjustment is arrived at, the terms of the adjustment shall be reduced to writing and made a part of the complaint file, with a copy of the terms of

the adjustment provided the complainant and the Special Assistant for Equal Opportunity. The head of the operating unit should also be advised of the adjustment.

\*2. If an adjustment of the complaint is not arrived at, the Equal Employment Opportunity Officer shall notify the complainant in writing of the proposed disposition of the complaint he proposes to recommend to the Director of Equal Employment Opportunity. That notice shall advise the complainant of his right to a hearing with subsequent decision by the Director of Equal Employment Opportunity and of his right to such a decision without a hearing. The complainant shall be allowed seven calendar days from receipt of the notice to notify the Equal Employment Opportunity Officer whether or not he wishes to have a hearing.\*

3. If the complainant fails to notify the Equal Employment Opportunity Officer of his wishes within the seven-day period prescribed, the investigative file, the Counselor's report, and the record related to the adjustment and proposed disposition of the complaint shall be transmitted to the Director of Equal Employment Opportunity (Attention: Special Assistant for Equal Opportunity) for decision in accordance with subparagraph .02j. of this section.

\*4. If the complainant makes a timely request for a hearing, the Equal Employment Opportunity Officer shall promptly acknowledge receipt of the request, and transmit the complaint file to the Special Assistant for Equal Opportunity with advice that the designation of an Appeals Examiner is required. Following the conduct of the hearing, the complaint file will be transmitted to the Director of Equal Employment Opportunity (Attention: Special Assistant for Equal Opportunity) for decision on the discrimination complaint in accordance with subparagraph .02j. of this section.\*

g. Hearing. (713.218)

1. Appeals Examiner. The Director of Equal Employment Opportunity shall request the assignment by the Civil Service Commission of a trained Appeals Examiner from another Department or agency to conduct the hearing provided for under this section. He shall authorize the designated Appeals Examiner to (a) conduct the hearing, (b) request the Department to make employees available as witnesses, (c) administer oaths or affirmations, (d) regulate the course of the hearing, (e) rule on offers of proof, (f) limit the number of witnesses whose testimony would be unduly repetitious, (g) exclude any person from the hearing for contumacious conduct or misbehavior that obstructs

2.02g. Cont.

- 11 -

DAO 202-713

the hearing, and (h) exercise the other powers vested in the Appeals Examiner by this order. The Appeals Examiner will be furnished on a reimbursable basis to the operating unit in which the complaint arose.

2. Arrangements for Hearing. Upon receipt of the complaint file, the Appeals Examiner shall review the complaint file to determine whether further investigation is needed before scheduling the hearing. When the Appeals Examiner determines that further investigation is needed, he shall remand the complaint to the Director of Equal Employment Opportunity for further investigation, or arrange for the appearance of witnesses necessary to supply the needed information. The requirements of subparagraph .02e. of this section apply to any further investigation by the Department. The Appeals Examiner shall schedule the hearing for a convenient time and place. The appropriate Equal Employment Opportunity Officer shall insure that necessary arrangements are made by the operating unit for the provision of a hearing room, recording of the hearing, and the attendance of witnesses.

3. Conduct of Hearing.

(a) Attendance at the hearing is limited to persons determined by the Appeals Examiner to have a direct connection with the complaint.

(b) The Appeals Examiner shall conduct the hearing so as to bring out pertinent facts, including the production of pertinent documents. Rules of evidence shall not be applied strictly, but the Appeals Examiner shall exclude irrelevant or unduly repetitious evidence. Information having a bearing on the complaint or employment policy or practices relevant to the complaint shall be received in evidence. The complainant, his representative, and the representatives of the Department at the hearing shall be given the opportunity to cross-examine witnesses who appear and testify. Testimony shall be under oath or affirmation.

4. Witnesses at the Hearing. The Appeals Examiner shall request the Department to make available as a witness at the hearing an employee requested by the complainant when the Appeals Examiner determines that the testimony of the employee is necessary. He shall also request the appearance of any other employee whose testimony he desires to supplement the information in the investigative file. The Appeals Examiner shall give the complainant his reasons for the denial of a request for the appearance of any employee as a witness and shall insert those reasons in the record of the hearing. Employees of the Department shall be made available when requested by the Appeals Examiner, when it is administratively practicable to comply with the request. The reasons for the denial of a request of the Appeals Examiner to make an employee available as a witness at a hearing shall be furnished the Appeals Examiner. If he considers the reasons to be insufficient, he shall so advise the Department and request that it make the employee available. If he considers the reasons to be sufficient, he shall enter them in the record of the hearing, provide a copy to the complainant, and make arrangements to obtain testimony from the employee.

through a written interrogatory. Employees of the Department shall be in a duty status during the time they are made available as witnesses. Witnesses shall be free from restraint, interference, coercion, discrimination, or reprisal in presenting their testimony.

5. Record of Hearing. The operating unit in which the complaint arose shall arrange for the hearing to be recorded and transcribed verbatim. All documents submitted to and accepted by the Appeals Examiner at the hearing shall be made part of the record of the hearing. If the Department submits a document that is accepted, it shall furnish a copy to the complainant. If the complainant submits a document that is accepted, he shall make it available to the Department representatives for copying. A copy of the transcript of the hearing shall be prepared for later delivery to the complainant (see subparagraph .02j.3. of this section).

6. Findings, Analysis, and Recommendations. The Appeals Examiner shall transmit the complaint file (including the record of the hearing), together with his findings and analysis with regard to the matter which gave rise to the complaint and the general environment out of which the complaint arose and his recommended decision on the merits of the complaint, to the Director of Equal Employment Opportunity and shall notify the complainant of the date on which this is done. In addition, the Appeals Examiner shall transmit, by separate letter to the Director of Equal Employment Opportunity, any findings and recommendations he considers appropriate with respect to conditions in the Department having no bearing on the matter which gave rise to the complaint or the general environment out of which the complaint arose.

h. Relationship to Other Departmental Appellate Procedures. (713.219)

\*1. Except as provided in subparagraphs .02h.2. and .02h.3. of this section, when an employee makes a written allegation of discrimination in connection with an action that would otherwise be processed under a grievance or appeals system of the Department, the allegation shall be processed under that system when the system meets the principles and requirements in sections 713.212 through 713.220 of the Civil Service Regulations (subparagraphs .02a. through .02i. of this section) and the Secretary or the Director of Equal Employment Opportunity makes the decision on the issue of discrimination. The decision on the issue of discrimination shall be incorporated in and become a part of the decision on the grievance or appeal.

2. An allegation of discrimination made in connection with an appeal under DAO 202-771, "Administrative Appeals," shall be processed under that order.

3. An allegation of discrimination made in connection with a grievance under DAO 202-770, "Employee Grievances," shall be processed under this paragraph .02, including referral to the appropriate Counselor.\*

i. Avoidance of Delay. (713.220)

\*1. The complaint shall be resolved promptly. To this end, both the complainant and representatives of the Department shall proceed with the complaint without undue delay so that the complaint is resolved, except in unusual circumstances, within sixty calendar days after its receipt by the Equal Employment Opportunity Officer, exclusive of the time spent in the processing of the complaint by the Appeals Examiner under subparagraph .02g. of this section. When the complaint has not been resolved within this limit, the complainant may appeal to the Civil Service Commission for a review of the reasons for the delay. Upon review of such an appeal, the Commission may require the Department to take special measures to insure the prompt processing of the complaint or may accept the appeal for full consideration under Civil Service Regulation 713.234.\*

2. The Director of Equal Employment Opportunity may, upon his own motion or upon the recommendation of the appropriate Equal Employment Opportunity Officer, cancel a complaint if the complainant fails to prosecute the complaint without undue delay. However, instead of canceling the complaint, the complaint may be processed to completion if sufficient information for that purpose is available.

j. Final Decision. (713.221)

1. The final decision on a formal complaint which has not been adjusted informally shall be made by the Director of Equal Employment Opportunity, except as otherwise provided pursuant to subparagraph .01e.2.(k) of this section. The decision shall be based on information in the complaint file.

2. The decision shall resolve the issue of discrimination raised by the complainant and shall require any remedial action authorized by law determined to be necessary or desirable to effectuate the resolution of the issue and to promote the policy of equal opportunity.

3. The decision shall be in writing and shall be transmitted by letter to the complainant and his representative.

\*(a) Where there has been a hearing on the complaint, the letter shall also transmit a copy of the findings, analysis, and recommended decision of the Appeals Examiner and a copy of the hearing record. The deciding official shall, adopt, reject, or modify the decision as recommended by the Appeals Examiner. When the decision is to reject or modify the recommended decision of the Appeals Examiner, the letter transmitting the decision shall set forth the reasons for rejection or modification.\*

(b) When there has been no hearing, the letter transmitting the decision shall set forth the findings, analysis, and decision of the Department.

(c) The head of the operating unit concerned shall be furnished a copy of the final decision. In turn, the Equal Employment Opportunity Officer and Counselor involved should also be apprised of the decision, for their information and guidance.

4. The complainant shall be advised of his right to appeal to the Commission any final decision by the Department under this subparagraph j. with which he is not satisfied, and of the time limit within which he must file the appeal, as provided in Civil Service Regulations 713.231 through 713.236.

5. The Secretary may, in his discretion, when in his judgment such action appears warranted by the circumstances, reopen and reconsider any previous decision under these regulations.

k. Complaint File. (713.222) The Equal Employment Opportunity Officer concerned shall assure that a complaint file is established for each formal complaint, containing all pertinent documents. The file shall include, as a minimum, copies of (1) the written report of the Counselor, (2) the complaint, (3) the investigative file, (4) if the complaint is withdrawn by the complainant, a written statement of the complainant or his representative to that effect, (5) if adjustment of the complaint is arrived at under subparagraph .02f. of this section, the written record of the terms of the adjustment, (6) if no adjustment of the complaint is arrived at under subparagraph .02f. of this section, a copy of the letter notifying the complainant of the proposed disposition of the complaint and of his right to a hearing, (7) if a hearing is held, the record of the hearing, together with \*the Appeals Examiner's findings, analysis, and recommended decision on the merits of the complaint,\* (8) if decision is made under subparagraph .02j. of this section, a copy of the letter transmitting the decision to the complainant, and (9) in the event the complaint is reopened by the Secretary, the decision of the Secretary showing the reconsideration given the complaint. The complaint file shall not contain any document that has not been made available to the complainant, \*or to his designated physician under Civil Service Regulation 294.401.\*

.03 Reports to the Commission. (713.241) Recurring reports concerning pre-complaint counseling and the status and disposition of complaints shall be made to the Commission by the Special Assistant for Equal Opportunity. The principal Equal Employment Opportunity Officer of each operating unit shall

RECEIVED  
MAY 01 1971  
Sandy Hook  
Marine Laboratory

RECEIVED  
MAY 1 1971

(Continued on page 15.)

## **NOAA Administrator's Letter No. 5**

---

September 30, 1971

**SUBJECT: EQUAL EMPLOYMENT OPPORTUNITY--AFFIRMATIVE ACTION  
PLANS**

**TO: ALL NOAA EMPLOYEES**

My memorandum of April 7, 1971, summarized the responsibilities assigned to NOAA employees in carrying out our Equal Employment Opportunity Program.

I am pleased to report that we are continuing to carry out many worthwhile activities in our efforts to assure that our policy of fair and equitable treatment for all is effective.

Our Junior Fellowship Program has continued at a high level of activity. NOAA now has 74 Junior Fellows in both field and headquarters locations. Of this number 37 or 50 percent are minority group employees. This program is one of our most effective tools for attracting top quality students and has been particularly significant in our field locations.

The Administrative Intern Program continues to grow and to provide training and promotional opportunities. The total number enrolled in this program is now 21, of which 11 are minority group members and 10 are women. When fully implemented, this program will have approximately 25 Interns each year and will afford a continuing supply of trained employees for administrative positions.

An American Indian training program has begun in the Southern, Central, and Western Regions of NWS. American Indians are screened and referred by the Bureau of Indian Affairs to begin training as Meteorological Technicians.

Our training of Alaskan Natives is continuing into its fourth year. Alaskan Natives are being trained and employed at NOAA weather stations and aboard our vessels. At present, a total of 41 graduates from this training are NOAA employees.

A Computer Operator training program is active in NOAA headquarters which offers employees an opportunity to qualify for higher graded computer operator positions. Twenty-two employees have completed or are undergoing training. Thirteen of these employees are minority group members and eight are women.

We are continuing to visit minority group colleges and to utilize minority group employees as college recruiters. In addition, we have increased the number of cooperative agreements with universities having sizable minority group student populations and we have had a number of students from these organizations spend their work periods with us.

Veterans Readjustment Appointments are among those in which we have been very successful, primarily through the efforts of our field offices. Fifty-four returning Vietnam veterans have been hired this year under this authority. Of this number more than one-half are minority group members. This program is a very effective one in that it accomplishes a number of objectives; it offers opportunity to returning veterans, and career opportunities to minority group members primarily in attractive technical fields.

NOAA community activities relating to EEO are steadily increasing. These include "open houses" where NOAA facilities host minority group and other students and visitors and EEO community activities participated in by NOAA employees on a voluntary basis.

Training in equal employment opportunity is provided as part of all supervisory training courses. During FY 1971, 345 supervisors received training in this area. In addition, a special training program, Focus on Understanding, has been given both in headquarters and the field. This latter course, which seeks to have participants examine their conceptions on race and ethnic groups, was given to more than 335 NOAA employees in the past year.

Statistically, minority group employment shows an upward trend as reflected by the following:

Total minority group employment in NOAA has increased from 8 1/2 percent in 1968 to 11 percent in 1971; and the respective figures for NOAA's Washington, D. C., area employment are from 14.8 percent in 1968 to 18 percent in 1971. This was accomplished during a period when total full time employment was relatively stable. During the same period the number of minority group employees at GS-12 and above has increased from 8.4 percent to 11.7 percent. Much of the overall gain in minority group employment is a result of gains in technical occupations rather than in clerical or wage board occupations, where minority group members are usually found. For example in the year prior to the creation of NOAA, net overall employment in technical fields increased by 121, of which 47 were minority group members.

Efforts toward the upgrading of women have also shown results. From 1968 to 1971 net total employment of women increased from 1496 to 2571. In the higher grades during this period, the percentage of women GS-12 and above increased from 3.3 percent to 4.2 percent.

At the same time, further progress should be made and the following NOAA Affirmative Action Plan is to be carried out in the fashion and within the time frames indicated:

1. Communication of EEO Policy

This Letter is addressed to every employee. To supplement this Letter, it is highly desirable for first-line supervisors to hold face-to-face discussions with their subordinates to be sure this program is understood and to provide opportunity for answering questions.

2. Leadership, Program Guidance and Financial Support

Directors of POE's shall exercise personal leadership in establishing, maintaining, and carrying out a continuing affirmative program designed to promote equal opportunity in every aspect of personnel policy and practice in the employment, development, advancement and treatment of employees. Each POE Director shall to the maximum extent possible:

a. Provide sufficient resources to administer the EEO Program, with particular attention devoted to upgrading skills of employees by funding training programs.

b. Issue memoranda, statements, and conduct meetings, as appropriate, to assure that line and staff managers and supervisors understand and support EEO goals and objectives.

c. Review and evaluate the status of the total EEO Program on a continuing basis, within areas of jurisdiction, and order any improvements or corrective actions necessary.

d. Conduct a continuing campaign to eradicate every form of prejudice or discrimination based upon race, color, religion, sex, or national origin, from personnel policies and practices and working conditions within areas of jurisdiction, including disciplinary action against employees who engage in discriminatory practices.

e. Provide the maximum feasible opportunity to employees to enhance their skills through on-the-job training, work-study programs and other training measures so that they may perform at the highest potential and advance in accordance with their abilities.

3. EEO Committees

The NOAA EEO Committee shall be composed of one representative from each Major Line Component, one from the Office of the Administrator (representing the staff offices) and one from the Office of the Assistant Administrator for Administration. EEO Committees in the Major Line Components (and, as appropriate, in subordinate field headquarters) are encouraged, at the discretion of the Director. Where established, it would be expected that the Committee Chairman would be the representative to the NOAA EEO Committee. Where no MLC Committee exists, the representative to the NOAA EEO Committee will be designated by the Director.

The NOAA EEO Committee will report to the Administrator and will serve as an advisory group concerning the operation and effectiveness of the EEO program. It has no line authority but will be expected to present to the Administrator from time to time recommendations for program improvements.

Major Line Component EEO Committees will report to the Director of the Line Component and serve in an advisory capacity to him. The number of members will be determined by the Director, taking into account the size and nature of his organization. In naming members to these Committees, Directors of MLC's should give consideration to the following:

- a. Accommodating employees who have expressed an interest in serving;
- b. Making sure that each minority group is represented;
- c. Making sure that there is a range of grade levels and/or occupations represented; and
- d. Providing for rotation of members so that the Committee membership does not become static.

EEO Committees in MLC field headquarters will report to the Director or the head of the field organization and will serve in an advisory capacity to him. The same guidelines applicable to MLC Headquarters Committees shall be observed when organizing field committees.

4. MLC Affirmative Action Plans

MLC affirmative action plans shall be worked out for headquarters and field organizations to supplement this NOAA plan. There shall be a supplementary plan for each separate headquarters or field facility which will specify the particular activities to fit the local situation. Such MLC supplements shall take into account specific problems relating to workforce imbalance, upward mobility, training programs, etc., and shall fix responsibility and show target dates. These plans shall be subject to approval by the Director of the MLC after review by the Chief, Personnel Division, and two copies shall be furnished to the Administrator. A copy of approved Action Plans should be distributed to each supervisor to whom the plan is applicable and supervisors shall route copies to employees.

5. Recruitment Goals

No quotas or preferences or exclusionary practices based on racial or ethnic origin consideration shall be established. However, employment goals--which are different from quotas--are useful in solving problem areas in equal employment opportunity and can strengthen our merit system by encouraging affirmative action aimed at broadening efforts to assure equal employment opportunity for all persons. Directors of POE's, line supervisors and Personnel officials should make specific efforts to increase the number of minorities in GS-12 and above positions through recruitment and development programs.

The NOAA goals for minorities and women for FY 1972, as indicated below, represent increases in representation of minorities and women for all of the categories listed as compared to our experience to date:

a. Of the total number of college hires, earmark 25 jobs for recruitment of minority group college graduates.

b. Employ or host and train individuals for:

- (1) Federal Junior Fellow, 50
- (2) Administrative Intern, 18
- (3) Coop Education, 20
- (4) College Work Study, 20
- (5) Neighborhood Youth Corps, 20
- (6) Work Incentive Programs, 5
- (7) President's Stay in School Campaign, 20
- (8) Public Service Careers, 25
- (9) Viet Nam Era Veterans, 25

c. Employ 207 persons for summer jobs as follows:

- (1) Summer Aids, 150
- (2) Eligibles on Summer Exam, 50
- (3) Graduate Students, 5
- (4) Professors and High School Teachers, 2

The Chief, Personnel Division, will spearhead specific recruiting activities in conjunction with POE's in order to assist in achieving these goals, particularly in assuring equitable distribution of individuals throughout the organization. In addition, the Chief, Personnel Division, will work closely with supervisors in intensifying efforts to locate and hire minorities and women for mid- and upper-level positions and will insure that minority group employees and women are included on recruiting teams.

6. Personnel actions

Heads of POE's, line supervisors and personnel officials shall assure that selections for positions, promotions, participation in training programs, recognition awards, adverse actions and classification actions and all personnel processes are accomplished within the framework of the EEO Program. In addition, employment consideration and processing of candidates for employment will be expedited so that candidates who cannot be used can be referred Department-wide.

7. Performance ratings

EEO activities of supervisors shall be evaluated as one aspect of performance when annual performance ratings are made. Directors of POE's shall review, evaluate, and control managerial and supervisory performance in such a manner as to insure a continuing affirmative application and vigorous enforcement of the policy of equal opportunity, and provide orientation, training, and advice to managers and supervisors to assure their understanding and implementation of the policy and program.

8. Source Referral Lists

Master minority and women's group address lists of appropriate colleges, universities, associations and other referral sources will be developed and vacancy information will be furnished to these sources by the Personnel Division.

9. Visitation and technical assistance programs

Supervisors and personnel officials shall visit high schools and colleges with predominantly minority groups and women enrollment for the purpose of providing information on staffing needs. They should solicit applications and/or encourage students to take courses which will qualify them for jobs for which recruitment is normally conducted. In addition, they shall provide technical assistance to minority colleges and universities where possible, in endeavors to develop curricula more specifically related to the needs of POE's.

10. Employee upgrading

Line supervisors, working with personnel officials, shall design opportunities for upgrading employees as follows:

a. Restructure jobs in at least 25 job categories to provide career advancement for employees with potential serving in dead-end jobs.

b. Arrange for at least 25 details for purpose of developing skills of deserving employees.

c. Develop training agreements to provide for career advancement of deserving employees in at least five occupational fields.

11. EEO training and development

Line supervisors and personnel officials shall improve EEO training and development opportunities as follows:

a. Expand training programs to meet needs of employees.

b. Assure that minority employees and women are included in appropriate numbers in training courses and the awards program.

c. Designate a training officer to design and coordinate and implement the training effort for disadvantaged and lower grade employees.

d. Conduct EEO training for supervisors to assure their understanding, support and acceptance of the EEO Program.

12. Career Counseling Services

The Chief, Personnel Division, will assure that there are adequate guidance counselors to help employees develop career plans. Special efforts shall be made to give training to supervisors in counseling techniques in order that they may participate more fully in discussing career planning with employees.

13. Publicizing outstanding EEO contributions

Directors of POE's, line supervisors and EEO Committees should nominate employees deserving of recognition for their EEO activities for the Department's Annual EEO Award and for awards within NOAA. House organs and special issuances should be used to publicize significant EEO achievements.

14. Participation in community activities

Directors of POE's and line supervisors should participate personally and should encourage their subordinates to participate in community activities to improve employment opportunities and community conditions that affect employability.

15. Processing of discrimination complaints

Equal Employment Officers and the Chief, Personnel Division, will expedite processing of discrimination complaints as follows:

a. Establish and maintain 25 trained EEO counselors throughout NOAA to assist employees in resolving their complaints--publicize names and where they can be reached.

b. Process discrimination complaint cases in accordance with Department of Commerce directives.

c. Assure there is no recrimination against employees who are the subject of complaints.

16. Spanish Speaking Americans

To reflect the recent emphasis on improving the status of Spanish Speaking Americans in the Federal Government with respect to their number, grades and opportunity to develop skills, the following action steps apply specifically to this group:

a. Personnel offices should designate a personnel office employee to provide advice and assistance on matters relating to Spanish-speaking people to assure full application of the program.

b. Line supervisors and personnel officials should work together to recruit Spanish-speaking people for identified public contact positions, in areas of heavy Spanish-speaking population; e.g., Southwestern states, Chicago, Detroit and New York.

c. Spanish-speaking employees should be included in college recruiting teams at colleges and universities where there are Spanish-speaking students.

d. Cooperative Education Programs should be placed in effect at colleges where there are significant numbers of Spanish surnames students.

e. Selective certification on bilingual basis should be used so Spanish-speaking people may be reached for appointment to positions dealing with the Spanish population.

f. Particular attention should be given by supervisors to work with high schools in Spanish-speaking areas to make known job opportunities and what is needed to qualify.

g. High school and college teachers should be hired from schools with Spanish-speaking students to improve their understanding of job opportunities.

h. Special efforts should be made to inform Spanish surnamed Veterans of availability of non-competitive appointments for Vietnam Era Veterans.

i. Personnel Offices should compile a list of Spanish-speaking organizations--provide them with information on vacancies and recurring type staffing needs. Establish good working relationships through face-to-face contact where possible.

j. Special training programs should be conducted by personnel officials and line supervisors in areas where there are Spanish-speaking people to assure that supervisors understand the EEO Program and the special problems of the Spanish-speaking people.

k. Special attention should be given by line supervisors and personnel officials to develop the skills of lower grade Spanish-speaking employees to enhance promotion opportunity.

1. Concerted efforts should be made to recruit Spanish-speaking people for mid- and upper-level positions.

m. The Chief, Personnel Division, should periodically review actions taken by activities to improve the status of Spanish-speaking people.

17. Women

To reflect the emphasis placed on improving the status of women in the Federal Government, the following action steps apply:

a. Support should be given to individual representatives of the DOC Federal Women's Program Committee by providing information requested as rapidly as possible and by providing clerical assistance requested by the Department.

b. Line supervisors should assure that the status of women is improved by implementing the provisions of paragraphs 1 through 15 above.

c. Where possible part-time positions should be established to utilize skills of qualified women who are unable to work full-time.

d. NOAA officials should work with Department officials in establishing day care centers to meet the needs of current and prospective employees.

e. Directors of POE's, line supervisors and Personnel officials should make specific efforts to increase the number of women in Grade GS-12 and above positions through recruitment and development programs. Particular attention should be given to units with rates below the Department average.



Robert M. White  
Administrator

FNE 42



U.S. DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
NATIONAL MARINE FISHERIES SERVICE  
Washington, D.C. 20235

Fx3

JAN 11 1972

Date :

To : All NMFS Components

From : F - Director, NMFS

Subject: Equal Employment Opportunity - Affirmative Action Plan

In October 1971 every NOAA employee should have received a copy of NOAA Administrator's Letter No. 5 concerning an affirmative plan of action for carrying out the Equal Employment Opportunity Program. We have now prepared a Supplement to this plan which assigns specific responsibilities to NMFS officials for action and reporting. A copy of the NMFS Supplement is attached. It should be noted that certain actions are required on the part of supervisory personnel immediately.

We are required under the NOAA plan to make semiannual narrative and statistical reports concerning our performances during each reporting period. These reports should be made in conjunction with the personnel component that provides personnel services to your organizations. The reporting methods and specific dates will be established by the servicing personnel component.

I would like each of you (supervisors) to discuss the EEO Affirmative Action Plan with employees under your control and take the necessary steps to assure the goals and accompanying reporting schedules are achieved.

Philip M. Roedel

Attachment



**A Century of Fish Conservation**

EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION PLAN (AAP)  
NATIONAL MARINE FISHERIES SERVICE - SUPPLEMENT 1/

<u>Description of Action</u>	<u>Responsible</u>	<u>Target Date</u>
<b>1. <u>Communication of EEO Policy:</u></b>		
A. Develop and approve NMFS Supplement to the NOAA Affirmative Action Plan (AAP).	Director	December 1971
B. Distribute copies of approval Supplement to all supervisory personnel.	Headquarters Personnel Component	January 1972
C. Route copies of this Supplement to every NMFS employee.	Supervisors	January 1972
D. Conduct discussions of this Plan with all employees to assure understanding of the Plan and the EEO Program.	Supervisors	January 1972
<b>2. <u>Leadership, Program Guidance and Financial Support:</u></b>		
A. Provide sufficient resources to administer the EEO Program.	Director	Continuing
B. Take all necessary actions (Memoranda, meetings, etc.) to assure all supervisors understand and support the EEO Program.	Director	Continuing
C. Review and evaluate the EEO Program on a continuing basis and implement any improvements or corrective actions necessary.	Associate, Regional & Center Directors	February & August 1972
D. Conform to semi-annual reporting requirement as specified below:	Servicing Personnel Components	" " " "
(1) Define actions taken on each item of the AAP during the preceding 6 months.	" " " "	" " " "
(2) Define EEO accomplishments during the reporting period but not covered above.	" " " "	" " " "
(3) Consolidate reports from each servicing personnel component into a Summary NMFS report for review by the Director. Provide an analysis of positive or negative actions taken, recommend modifications to the Plan as required.	Headquarters Personnel Component	" " " "

1/ This Plan Supplements NOAA Administrator's Letter No. 5, dated September 30, 1971.

	<u>Description of Action</u>	<u>Responsible</u>	<u>Target Date</u>
3.	<u>EEO Committees:</u>		
A.	Establish an MFRS EEO Committee for the Washington, D. C. area.	Director	December 1971
B.	Establish MFRS Field EEO Committees, if appropriate.	Regional & Center Directors	January 1972
C.	Assure EEO Committees, if established, include membership from as many minority groups as possible and represent a wide range of grade levels. Provide for fair rotation of membership.	Director, Regional & Center Directors	Continuing
4.	<u>MFC Affirmative Action Plans:</u> (Covered under 1.A.)		
5.	<u>Recruitment Goals (Applies to Minority Group and Women Employees):</u>		
A.	Of the total number of college hires, earmark four (4) jobs for the recruitment of minority group college graduates.	Supervisors & Servicing Personnel Components	July 1972
B.	Employ or host and train minority individuals for the following special programs:	Supvrs. & Svcs. Pers. Components	June 1972
	(1) Federal Junior Fellow (8 minority employees).		
	(2) Coop Education (4 minority employees).		
	(3) College Work Study (4 minority employees).		
	(4) Neighborhood Youth Corps (4 minority employees).		
	(5) Work Incentive Programs (1 minority employee).		
	(6) President's Stay In School Campaign (4 minority employees).		
	(7) Public Service Careers (5 minority employees).		
	(8) Viet Nam Era Veterans (5 minority employees).		
C.	Employ 25 minority employees for summer jobs in the following programs:	Supvrs. & Svcs. Pers. Components	June 1972
	(1) Summer Aids (15 minority employees).		

<u>Description of Action</u>	<u>Responsible</u>	<u>Target Date</u>
(2) Eligibles of Summer Exam (8 minority employees).	Servicing Personnel Components	Immediate & Continuing
(3) Graduate Students (1 minority employee).	Servicing Personnel Components	Continuing
(4) Professors and High School Teachers (1 minority employee).	Agency Officials who rate Supervisory Performance	Continuing
<u>6. Personnel Actions:</u>		
A. The selection process for positions, promotions, participation in training programs, awards, adverse actions and classification actions shall be documented to insure that all aspects of the EEO Policy is followed.	Servicing Personnel Components	Immediate & Continuing
B. Expedite EEO employment consideration and processing requirements to facilitate rapid hiring commitments. Refer candidates that cannot be used and employees who are underutilized to the Chief, Personnel Division, for wider consideration.	Servicing Personnel Components	Continuing
7. Performance Ratings: Evaluate EEO activities as one aspect of performance of supervisors at annual performance rating time.		
<u>8. Source Referral List:</u>		
A. Develop master list of minority and women's group addresses and provide them vacancy information as appropriate.	Servicing Personnel Components	Jan. 1972 & Continuing
B. Where possible, visit minority and women's groups to establish good working relationships.	Supervisors & Servicing Personnel Components	Continuing
<u>9. Visitation and Technical Assistance Programs:</u>		
A. Visit high schools and colleges with predominantly minority groups and women enrollment for the purpose of providing information on staffing needs. Solicit applications and/or encourage students to take courses which will qualify them for jobs for which recruitment is normally conducted. Visitation programs for the Washington, D. C. area should be developed in conjunction with the Personnel Division.	Supervisors	June 1972
B. Provide technical assistance to minority colleges and universities where possible, in endeavors to develop curricula more specifically related to the needs of NMFS.	Supervisors	June 1972

Description of Action	Responsible	Target Date
10. <u>Employee Upgrading</u> : Design opportunities for upgrading minority employees as follows:	Supvs. & Svcs. Pers. Components	June 1972
A. Restructure four (4) jobs to provide career advancement for employees serving in dead-end jobs who have potential.	" " " "	" "
B. Arrange for four (4) details for the purpose of developing skills of deserving employees.	" " " "	" "
C. Where possible, develop training agreements to provide for career advancement of deserving employees.	" " " "	" "
11. <u>EEO Training and Development</u> :		
A. Expand Training Programs to meet the needs of employees.	Servicing Personnel Components	Feb. 1972 & Continuing
B. Assure that minority employees are included in appropriate numbers in Training courses and the awards program.	Supervisors	Immediate & Continuing
C. Conduct EEO Training for supervisors to assure their understanding, support and acceptance of the EEO Program.	Servicing Personnel Components	Immediate & Continuing
12. <u>Career Counseling Services</u> :		
A. Assure that significant numbers of NRS supervisors receive Training in counseling techniques in order that they may participate more fully in discussing career planning with employees.	Associate, Regional & Center Directors	Continuing
B. Acquire Training in counseling techniques so that you (supervisors) may participate more fully in employee career planning.	Supervisors	Continuing
13. <u>Publicizing Outstanding EEO Contributions</u> :		
A. Nominate employees deserving of recognition for their EEO activities for appropriate awards.	Supervisors	December 1971
B. Publicize significant EEO Achievements.	Director	Continuing
14. <u>Participation in Community Activities</u> :		
A. Encourage employees to participate in community activities.	Supervisors	Continuing

Description of Action

Responsible

Target Date

- 11 -
- 12 -
- 13 -
- 14 -
- 15. Processing of Discrimination Complaints:
  - A. Arrange for public "open house" tours to provide insight and create interest of minority groups and women in our mission and staffing needs.

Supervisors  
Continuing

- 15. Processing of Discrimination Complaints:
  - A. Make available WAFS employees to be Trained as EEO Counselors.

Assoc., Regional & Ctr. Directors  
Continuing

- 15. Processing of Discrimination Complaints:
  - B. Publicize the names and addresses of EEO Counselors.

Servicing Personnel Components  
January 1972

- 15. Processing of Discrimination Complaints:
  - C. Process discrimination complaints cases in accordance with DOC regulations.

EEO Officer (NOAA)  
Continuing

- 15. Processing of Discrimination Complaints:
  - D. Assure that there is no reexamination against employees who are the subject of complaints.

Supervisors  
Immediate

16. Spanish-Speaking Americans:

- A. Designate a personnel office employee to provide advice and assistance on matters relating to Spanish-speaking people to assure full application of the Program.

Servicing Personnel Components  
December 1971

- B. Recruit Spanish-speaking people for identified public contact positions, in areas of heavy Spanish-speaking population.

Supervisors & Servicing Personnel Components  
Immediate & Continuing

- C. Include Spanish-speaking employees in college recruiting teams at colleges and universities where there are Spanish-speaking students.

Servicing Personnel Components  
December 1971

- D. Explore cooperative education programs at colleges where there are significant numbers of Spanish surnamed students.

Servicing Personnel Components  
February 1972

- E. Selective certification on bilingual basis will be used so Spanish-speaking people may be reached for appointment to positions dealing with the Spanish population.

" " " " " "

- F. Work with high schools in Spanish-speaking areas to make known job opportunities and what is needed to qualify.

" " " " " "

- G. Hire high school and college teachers from schools with Spanish-speaking students to improve their understanding of job opportunities.

Supervisors & Servicing Personnel Components  
June 1972

- H. Inform Spanish surnamed Veterans of availability of non-competitive appointments for Viet Nam Era Veterans.

Servicing Personnel Components  
Immediate & Continuing

<u>Description of Action</u>	<u>Responsible</u>	<u>Target Date</u>
I. Compile a list of Spanish-speaking organizations--provide them with information on vacancies and recurring-type staffing needs. Establish good working relationships through face-to-face contact where possible.	Servicing Personnel Components	Jan. 1972 & Continuing
J. Conduct special training programs in areas where there are Spanish-speaking people to assure that supervisors understand the EPO Program and the special problems of these people.	Servicing Personnel Components	Feb. 1972 & Continuing
K. Give special attention to develop the skills of lower grade Spanish-speaking employees to enhance promotion opportunity.	Supervisors & Servicing Personnel Components	February 1972
L. Make concerted effort to recruit Spanish-speaking people for mid- and upper-level positions.	Supervisors & Servicing Personnel Components	Immediate & Continuing
M. Periodically review actions taken by activities to improve the status of Spanish-speaking people.	Associate, Regional & Center Directors	February & August 1972
17. <u>Women:</u>		
A. Give support to individual representatives of the DOC Federal Women's Program Committee by providing information requested as rapidly as possible and by providing clerical assistance requested by the Department and NOAA.	Supervisors & Servicing Personnel Components	As Requested
B. Assure that the status of women is improved by implementing the provisions of Items 1 through 15.	Supervisors	Immediate & Continuing
C. Establish where possible part-time positions to utilize skills of qualified women who are unable to work full-time.	Supervisors	Immediate & Continuing
D. Work with Department and NOAA officials in establishing day care centers to meet the needs of current and prospective employees.	Supervisors	Immediate & Continuing
E. Submit statistical information on women in accordance with instructions of the Civil Service Commission, the Department and NOAA.	Supervisors & Servicing Personnel Components	As Required
F. Increase the number of women in Grade GS-12 and above positions through recruitment and development programs.	Supervisors	June 30, 1972 & Continuing

### Complaints Involving Issue Of Discrimination

Whenever as a result of a specific complaint handled under the provisions of Departmental regulations or from an evaluation made by an EEO counselor it is determined that discrimination has occurred, or may occur, practices giving rise to the situation must be corrected, and corrected promptly. Positive action at a local level is more effective than that proposed by a higher receiving level.

#### A. Objectives

To insure that appropriate steps are taken to eliminate or prevent conditions or circumstances which lead to complaints of discrimination, and that resolutions and investigations of complaints are handled promptly.

#### B. Procedures

Complaints are limited to alleged discrimination based on race, creed, color, sex, or national origin and not on merit and fitness, which actions adversely affect the complaining employee or applicant or the employee(s) or applicant(s) on whose behalf the complaint is filed. Prior to filing a formal

discrimination complaint the complainant must consult with the EEO counselor. Emphasis will be made on trying to achieve informal resolutions of complaints. Counselors will discuss the employee's problem with his or her supervisor as necessary and will report their findings and recommendations to the Regional EEO Officer. Counselors will also analyze the complaint to identify conditions and circumstances which go beyond the individual case and which may tend to lead to other grievances or discrimination complaints. Complaints are to be processed with complete fairness and objectivity, in strict compliance with Departmental regulations.

APPENDIX H

LABOR MANAGEMENT RELATIONS

CJ

February 3, 1972

National Marine Fisheries Service  
Federal Bldg., 14 Elm St.  
Gloucester, Mass. 01930

PM42

Labor-Management Relations

WFO, Center Director, Woods Hole, Ma.

WHL, Center Director, Sandy Hook, N. J.

Attention: Acting Executive Officers

We have attached a copy of Commerce Department Administrative Order 202-711 dated December 20, 1971 for your use. This supersedes Administrative Order 202-711 dated March 23, 1970, which was previously furnished to your office.

CHARLES P. TSAFFARAS  
Personnel Officer

Attachment

NEWS:CPTsaaffaras:ark

United States of America DEPARTMENT OF COMMERCE	DEPARTMENT ADMINISTRATIVE ORDER 202-711	
DEPARTMENT ADMINISTRATIVE ORDER SERIES	DATE OF ISSUANCE December 20, 1971	EFFECTIVE DATE December 20, 1971

SUBJECT  
 LABOR-MANAGEMENT RELATIONS

- Section 1. Purpose
- Section 2. General Provisions
- Section 3. Recognition
- Section 4. Agreements
- Section 5. Negotiation, Disputes and Impasses
- Section 6. Conduct of Labor Organizations and Management
- Section 7. Miscellaneous Provisions
- Section 8. Effect on Other Orders

SECTION 1. PURPOSE.

.01 This order sets forth the policy and procedure applicable to labor-management relations in the Department of Commerce.

.02 This revision of the order is issued to effect changes in the Department's labor-management relations program in conformity with Executive Order 11491, dated October 29, 1969 (34 F.R. 17605; October 31, 1969), as amended by Executive Order 11616, dated August 26, 1971 (36 F.R. 17319, August 28, 1971). Numbers in parentheses following selected captions are to pertinent sections of the Executive Order.

.03 The principal changes in the labor-management relations program made by Executive Order 11616 are as follows: —

a. The order clarifies the exclusion of a labor organization which assists or participates in a strike against the Government of the United States or any agency thereof, or imposes a duty or obligation to conduct, assist, or participate in such a strike. (See subparagraph 2.02e.2.)

b. An employee using a negotiated grievance procedure is restricted to use of an exclusive representative. (See subparagraph 3.Old.1.)

c. Professional organizations are included among the types of non-labor organizations with which an agency may consult or deal on matters or policies involving it or its members. (See subparagraph 3.Old.3.)

d. All agreements established, extended, or renewed after the effective date of Executive Order 11616, must contain a negotiated grievance procedure which (1) will be the exclusive procedure for employees of the unit to resolve differences over interpretation and application of the agreement, (2) will be limited to resolution of such differences, and (3) need not conform to Civil Service Commission regulations for grievance systems. Matters for which statutory appeals procedures exist are excluded from

coverage of the negotiated grievance procedure. The distinction between an employee grievance and a union dispute is eliminated. Arbitration may be invoked by either party without the consent of the other party or of the employee. The requirement for sharing of costs of the arbitrator is eliminated. A dispute over what is subject to the grievance procedure or to arbitration may be referred to the Assistant Secretary of Labor for decision. (See paragraph 4.03.)

e. Certain unfair labor practice complaints, previously required to be processed as employee grievances or appeals, other than those covered by an appeals procedure, may be processed either as unfair labor practice complaints or as employee grievances, at the option of the aggrieved party. (See subparagraph 6.02d.)

f. Negotiations by an employee representing a labor organization shall not be on official time, unless the parties agree to other arrangements, which may provide for official time for employees for up to 40 hours or one-half the time spent in negotiations during regular working time. Normally, the number of representatives who will be on official time should not exceed the number of management representatives and will be subject to negotiation. (See subparagraph 7.01b.)

g. Recovery of the costs of deducting dues for labor organizations or associations of management officials or supervisors is negotiable, rather than mandatory. (See paragraph 7.02.)

SECTION 2. GENERAL PROVISIONS.

.01 General Policy. (1)

a. Each employee of the Department has the right, freely and without fear of penalty or reprisal, to form, join, and assist a labor organization or to refrain from any such activity, and each employee shall be protected in the exercise of this right. Except as otherwise expressly provided in Executive Order 11491, as amended, the right to assist a labor organization extends to participation in the management of the organization and acting for the organization in the capacity of an organization representative, including presentation of its views to officials of the executive branch, the Congress, or other appropriate authority.

b. The head of each operating unit shall assure (1) that employees in that unit are apprised at least once each calendar year of their rights under this paragraph .01 and (2) that no interference, restraint, coercion, or discrimination is practiced within his operating unit to encourage or discourage membership in a labor organization.

c. Subparagraph .01a. of this section does not authorize participation in the management of a labor organization or acting as a representative of such an organization by a supervisor, except as provided in paragraph 7.04 of this order, or by an employee when the participation or activity would result in a conflict or apparent conflict of interest or otherwise be incompatible with law or with the official duties of the employee, as determined by the head of the operating unit concerned or his designee.

.02 Definitions. (2) For purposes of this order, the terms set forth in this paragraph have the meanings indicated.

a. "Department" means the Department of Commerce as a whole, and in relation to a labor organization, "Department" means any official or organization unit of the Department acting on behalf of the Department.

b. "Employee" means an employee of the Department and an employee of a non-appropriated fund instrumentality of the United States, but does not include, for the purpose of exclusive recognition or national consultation rights, a supervisor, except as provided in paragraph 7.04 of this order.

c. "Supervisor" means an employee having authority, in the interest of the Department, to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees, or responsibly to direct them, or to evaluate their performance, or to adjust their grievances, or effectively to recommend such action, if in connection with the foregoing the exercise of authority is not of a merely routine or clerical nature but requires the use of independent judgment.

d. "Guard" means an employee assigned to enforce against employees and other persons rules to protect property of the Department or the safety of persons on Department premises, or to maintain law and order in areas or facilities under Government control.

e. "Labor organization" means a lawful organization of any kind in which employees participate and which exists for the purpose, in whole or in part, of dealing with agencies concerning grievances, personnel policies and practices, or other matters affecting the working conditions of their employees; but does not include an organization which:

1. Consists of management officials or supervisors, except as provided in paragraph 7.04 of this order;
2. Assists or participates in a strike against the Government of the United States or any agency thereof, or imposes a duty or obligation to conduct, assist, or participate in such a strike;
3. Advocates the overthrow of the constitutional form of government in the United States; or
4. Discriminates with regard to the terms or conditions of membership because of race, color, creed, sex, age, or national origin.

f. "Department management" means the Secretary of Commerce, the Secretarial Officers, the heads of operating units and Departmental offices, and all other management officials, supervisors, and other representatives of management having authority to act for the Department on any matters relating to the implementation of the Department's labor-management relations program established under Executive Order 11491 and this order.

g. "Council" means the Federal Labor Relations Council established by Executive Order 11491.

h. "Panel" means the Federal Service Impasses Panel established by Executive Order 11491.

i. "Assistant Secretary of Labor," unless otherwise specified, means the Assistant Secretary of Labor for Labor-Management Relations.

j. "Operating Unit" means an operating unit of the Department of Commerce as defined in Department Organization Orders, and in addition, the offices of the Secretary of Commerce, the offices of Secretarial Officers, and Departmental offices, as defined in Department Organization Order 1-1.

k. "Department policies and regulations" means not only policies and regulations issued by the Office of the Secretary but also policies and regulations issued by operating units and by organizational components of operating units.

l. "Executive Order 11491" means Executive Order 11491, as amended.

.03 Applicability. (3)

a. Executive Order 11491 and this order apply to all employees of the Department of Commerce except as provided in subparagraphs .03b., .03c., and .03d. of this section.

b. Executive Order 11491 (except section 22 thereof) and this order do not apply to the Office of Investigations and Security or to any other office or organizational entity which has intelligence, investigation, or security work as a primary function, because the Secretary of Commerce has determined that the orders cannot be applied to them in a manner consistent with national security requirements and considerations. Executive Order 11491 (except section 22 thereof) and this order do not apply to the Office of Audits or to any other office or organizational entity which has as a primary function investigation or audit of the conduct or work of employees of the Department for the purpose of ensuring honesty and integrity in the discharge of their official duties, because the Secretary of Commerce has determined that the orders cannot be applied to them in a manner consistent with the internal security of the Department.

c. All provisions of Executive Order 11491 (except section 22 thereof) have been suspended by direction of the Secretary of Commerce with respect to any installation or activity of the Department located outside the United States, because the Secretary of Commerce has determined that this suspension is necessary in the national interest.

d. Employees engaged in administering a labor-management relations law, Executive Order 11491, or this order shall not be represented by a labor organization which also represents other groups of employees under the law, the Executive Order, or this order, or which is affiliated directly or indirectly with an organization which represents such a group of employees.

SECTION 3. RECOGNITION.

.01 General Provisions. (7)

a. Each operating unit of the Department, through an authorized appointing officer (see Department Administrative Order 202-250, Appendix A), will accord exclusive recognition, or the Director of Personnel will accord national consultation rights, at the request of a labor organization which meets the requirements for recognition rights or consultation rights under Executive Order 11491 and this order.

b. A labor organization seeking recognition shall submit to an authorized appointing officer for the operating unit concerned a roster of its officers and representatives, a copy of its constitution and by-laws, and a statement of its objectives.

c. When recognition of a labor organization has been accorded, the recognition will continue as long as the organization continues to meet the requirements of Executive Order 11491 and this order applicable to that recognition, except that section 7 of Executive Order 11491 and this paragraph .01 do not require an election to determine whether an organization should become, or continue to be recognized as, exclusive representative of the employees in any unit or subdivision thereof within 12 months after a prior valid election with respect to such unit.

d. Recognition of a labor organization does not:

1. Preclude an employee, regardless of whether he is in a unit of exclusive recognition, from exercising grievance or appellate rights established by law or regulations; or from choosing his own representative in a grievance or appellate action, except when presenting a grievance under a negotiated procedure as provided in section 12 of Executive Order 11491, as amended (see paragraph 4.05 of this order);

2. Preclude or restrict consultations and dealings between the Department and a veterans organization with respect to matters of particular interest to employees with veterans preference; or

3. Preclude the Department from consulting or dealing with a religious, social, fraternal, professional, or other lawful association, not qualified as a labor organization, with respect to matters or policies which involve individual members of the association or are of particular applicability to it or its members. However, consultations and dealings under this subparagraph .Old.3. shall be so limited that they do not assume the character of formal consultation on matters of general employee-management policy, except as provided in subparagraph .01e. of this section, or extend to areas where recognition of the interests of one employee group may result in discrimination against or injury to the interests of other employees.

e. The Department will establish a system for intra-management communication and consultation with its supervisors or associations of supervisors. The Office of Personnel will issue appropriate instructions for the establishment and

operation of this system. These communications and consultations will have as their purposes the improvement of operations of the Department, the improvement of working conditions of supervisors, the exchange of information, the improvement of managerial effectiveness, and the establishment of policies that best serve the public interest in accomplishing the mission of the Department.

f. Informal recognition or formal recognition may not be accorded.

.02 National Consultation Rights. (9)

1. The Director of Personnel will accord national consultation rights to a labor organization which qualifies under criteria established by the Federal Labor Relations Council as the representative of a substantial number of employees of the Department. National consultation rights will not be accorded for any unit where a labor organization already holds exclusive recognition at the national level for that unit. The granting of national consultation rights does not preclude the Department from appropriate dealings at the national level with other organizations on matters affecting their members. The Director of Personnel will terminate national consultation rights when the labor organization ceases to qualify under the established criteria.

2. When a labor organization has been accorded national consultation rights, the Department through the Office of Personnel, will notify representatives of the organization of proposed substantive changes in personnel policies that affect employees it represents and provide an opportunity for the organization to comment on the proposed changes. The labor organization may suggest changes in the Department's personnel policies and have its views carefully considered. It may confer in person at reasonable times, on request, with appropriate officials on personnel policy matters, and at all times present its views thereon in writing. The Department is not required to consult with a labor organization on any matter on which it would not be required to meet and confer if the organization were entitled to exclusive recognition.

3. Questions as to the eligibility of labor organizations for national consultation rights may be referred to the Director of Personnel, and with his prior approval, to the Assistant Secretary of Labor for decision.

03 Exclusive Recognition. (10)

a. Each operating unit of the Department shall accord exclusive recognition to a labor organization when the organization has been selected, in a secret ballot election, by a majority of the employees voting in an appropriate unit as their representative. Representation proceedings shall be conducted in accordance with regulations prescribed by the Assistant Secretary of Labor (see 29 CFR 202.1-22.22; 35 F.R. 2557, February 4, 1970).

b. A unit may be established on a plant or installation, craft, functional, or other basis which will ensure a clear and identifiable community of interest among the employees concerned and will promote effective dealings and efficiency of Department operations. A unit shall not be established solely on the basis of the extent to which employees in the proposed unit have organized, nor shall a unit be established if it includes:

3.03c.

DAO 202-711

1. Any management official or supervisor, except as provided in paragraph 7.04 of this order;
2. An employee engaged in Federal personnel work in other than a purely clerical capacity;
3. Any guard together with other employees; or
4. Both professional and nonprofessional employees, unless a majority of the professional employees vote for inclusion in the unit.

Questions as to the appropriate unit and related issues may be referred to the Director of Personnel and, with his prior approval, to the Assistant Secretary of Labor for decision.

c. Exclusive recognition shall not be accorded to a labor organization as the representative of employees in a unit of guards if the organization admits to membership, or is affiliated directly or indirectly with an organization which admits to membership, employees other than guards.

d. All elections shall be conducted under the supervision of the Assistant Secretary of Labor, or persons designated by him, and shall be by secret ballot. Any request from an operating unit of the Department to the Assistant Secretary of Labor to supervise an election (29 CFR 202.1 et seq.), any challenge to the validity of a showing of interest (29 CFR 202.2(f)), any challenge to the status of a labor organization (29 CFR 202.2(g)); any request to the Assistant Secretary of Labor to review a Regional Administrator's decision to dismiss a petition (29 CFR 202.6(d) and 202.9(a)), and any request to the Assistant Secretary of Labor to review the findings and recommendations of a Hearing Examiner or findings of a Regional Administrator with respect to objections to an election or challenged ballots (29 CFR 202.20(f)) shall be cleared with the Office of Personnel. Each employee eligible to vote shall be provided the opportunity to choose the labor organization he wishes to represent him, from among those on the ballot, or "no union." Elections may be held to determine whether:

1. A labor organization should be recognized as the exclusive representative of employees in a unit;
2. A labor organization should replace another labor organization as the exclusive representative; or
3. A labor organization should cease to be the exclusive representative.

e. When a labor organization has been accorded exclusive recognition, it is the exclusive representative of employees in the unit and is entitled to act for and to negotiate agreements covering all employees in the unit. It is responsible for representing the interests of all employees in the unit without discrimination and without regard to labor organization membership. The labor organization shall be given the opportunity to be represented at formal discussions between management and employees or employee representatives concerning grievances, personnel policies and practices, or other matters affecting general working conditions of employees in the unit.

SECTION 4. AGREEMENTS.

.01 Negotiation of Agreements. (11)

a. Each operating unit and a labor organization that has been accorded exclusive recognition, through appropriate representatives, shall meet at reasonable times and confer in good faith with respect to personnel policies and practices and matters affecting working conditions, so far as may be appropriate under applicable laws and regulations, including policies set forth in the Federal Personnel Manual, published policies and regulations of the Department or any organization unit thereof, a national or other controlling agreement at a higher level in the Department, and Executive Order 11491. They may negotiate an agreement, or any question arising thereunder; determine appropriate techniques, consistent with section 17 of Executive Order 11491 and with paragraph 5.02 of this order, to assist in such negotiation; and execute a written agreement or memorandum of understanding.

b. In prescribing regulations relating to personnel policies and practices and working conditions, each operating unit shall have due regard for the obligation imposed by subparagraph .01a. of this section. However, the obligation to meet and confer does not include matters with respect to the mission of the Department; its budget; its organization; the number of employees; and the numbers, types, and grades of positions or employees assigned to an organizational unit, work project or tour of duty; the technology of performing its work; or its internal security practices. This does not preclude the parties from negotiating agreements providing appropriate arrangements for employees adversely affected by the impact of realignment of workforces or technological change.

c. If, in connection with negotiations, an issue develops as to whether a proposal is contrary to law, regulation, controlling agreement, or Executive Order 11491 and therefore not negotiable, it shall be resolved as follows:

1. An issue which involves interpretation of a controlling agreement at a higher level in the Department is resolved under the procedures of the controlling agreement, or, if none, by referral to the Director of Personnel for decision;

2. An issue other than as described in subparagraph .01c.1. of this section which arises at a local level may be referred by either party to the Director of Personnel for determination;

3. A determination by the Director of Personnel as to the interpretation of the Department's regulations with respect to a proposal is final; and

4. A labor organization may appeal to the Council for a decision when (a) it disagrees with a determination by the Director of Personnel that a proposal would violate applicable law, regulation of appropriate authority outside the Department or Executive Order 11491, or (b) it believes that the Department's regulations, as interpreted by the Director of Personnel, violated applicable law, regulation of appropriate authority outside the Department, or Executive Order 11491.

4.02

.02 Basic Provisions of Agreements. (12)

a. Each agreement between the Department and a labor organization is subject to the following requirements:

1. In the administration of all matters covered by the agreement, officials and employees are governed (a) by existing or future laws and the regulations of appropriate authorities, including policies set forth in the Federal Personnel Manual; (b) by published Department policies and regulations in existence at the time the agreement was approved; and (c) by subsequently published Department policies and regulations required by law or by the regulations of appropriate authorities, or authorized by the terms of a controlling agreement at a higher agency level.

2. Management officials of the Department retain the right, in accordance with applicable laws and regulations:

(a) to direct employees of the Department;

(b) to hire, promote, transfer, assign, and retain employees in positions within the Department, and to suspend, demote, discharge, or take other disciplinary action against employees;

(c) to relieve employees from duties because of lack of work or for other legitimate reasons;

(d) to maintain the efficiency of the Government operations entrusted to them;

(e) to determine the methods, means, and personnel by which such operations are to be conducted; and

(f) to take whatever actions may be necessary to carry out the mission of the Department in situations of emergency.

3. Nothing in the agreement shall require an employee to become or to remain a member of a labor organization, or to pay money to the organization except pursuant to a voluntary, written authorization by a member for the payment of dues through payroll deductions.

b. The requirements of subparagraph .02a. of this section shall be expressly stated in the initial or basic agreement and apply to all supplemental, implementing, subsidiary, or informal agreements between the Department and the organization.

c. When an agreement is renegotiated or before it is extended, it shall be brought into conformance with applicable laws and regulations and current policies and regulations of the Department.

.03 Grievance and Arbitration Procedures. (13)

a. An agreement between the Department and a labor organization shall provide a procedure, applicable only to the unit, for the consideration of grievances over the interpretation or application of the agreement. A negotiated grievance

Procedure may not cover any other matters, including matters for which statutory appeals procedures exist, and shall be the exclusive procedure available to the parties and the employees in the unit for resolving such grievances. However, any employee or group of employees in the unit may present such grievances to the Department and have them adjusted, without the intervention of the exclusive representative, as long as the adjustment is not inconsistent with the terms of the agreement and the exclusive representative has been given opportunity to be present at the adjustment.

b. A negotiated procedure may provide for the arbitration of grievances over the interpretation or application of the agreement, but not over any other matters. Arbitration may be invoked only by the Department or the exclusive representative. Either party may file exceptions to an arbitrator's award with the Council, under regulations prescribed by the Council. Exceptions to an arbitrator's award may be filed by the Department only with the approval of the Office of Personnel.

c. Grievances initiated by an employee or group of employees in the unit on matters other than the interpretation or application of an existing agreement may be presented under any procedure available for the purpose.

d. Questions that cannot be resolved by the parties as to whether or not a grievance is on a matter subject to the grievance procedure in an existing agreement, or is subject to arbitration under that agreement, may be referred to the Assistant Secretary of Labor for decision.

e. No agreement may be established, extended, or renewed after the effective date of this order which does not conform to this section. However, this section is not applicable to agreements entered into before the effective date of this order.

04 Approval of Agreements. (15) An agreement with a labor organization as the exclusive representative of employees in a unit is subject to the approval of the head of the operating unit concerned or his designee, or if a unit applies to two or more operating units, by the Director of Personnel. An agreement will be approved if it conforms to applicable laws, existing published Department policies and regulations (unless the Department has granted an exception to a policy or regulation) and regulations of other appropriate authorities. A local agreement subject to a national or other controlling agreement at a higher level shall be approved under the procedures of the controlling agreement, or, if none, under Department regulations.

## SECTION 5. NEGOTIATION, DISPUTES AND IMPASSES.

01 Negotiation Disputes. (16) The Federal Mediation and Conciliation Service will provide services and assistance to Federal agencies and labor organizations in the resolution of negotiation disputes. The Service will determine under what circumstances and in what manner it will proffer its services. Any operating unit of the Department which desires to utilize the services of the Service shall obtain prior approval for such utilization from the Office of Personnel.

.02 Negotiation Impasses. (17) When voluntary arrangements, including the services of the Federal Mediation and Conciliation Service or other third-party mediation, fail to resolve a negotiation impasse, either party may request the Federal Service Impasses Panel to consider the matter. Any such request on behalf of the Department must be approved in advance by the Director of Personnel. The Panel, in its discretion and under the regulations it prescribes, may consider the matter and may recommend procedures to the parties for the resolution of the impasse or may settle the impasse by appropriate action. Arbitration or third-party fact-finding with recommendations to assist in the resolution of an impasse may be used by the parties only when authorized or directed by the Panel.

SECTION 6. CONDUCT OF LABOR ORGANIZATIONS AND MANAGEMENT.

.01. Standards of Conduct for Labor Organizations. (18)

a. An operating unit of the Department shall accord recognition only to a labor organization that is free from corrupt influences and influences opposed to basic democratic principles. Except as provided in subparagraph .01b. of this section, an organization is not required to prove that it has the required freedom when it is subject to governing requirements adopted by the organization or federation of labor organizations with which it is affiliated or in which it participates, containing explicit and detailed provisions to which it subscribes calling for:

1. The maintenance of democratic procedures and practices, including provisions for periodic elections to be conducted subject to recognized safeguards and provisions defining and securing the right of individual members to participation in the affairs of the organization, to fair and equal treatment under the governing rules of the organization, and to fair process in disciplinary proceedings;

2. The exclusion from office in the organization of persons affiliated with Communist or other totalitarian movements and persons identified with corrupt influences;

3. The prohibition of business and financial interests on the part of organization officers and agents which conflict with their duty to the organization and its members; and

4. The maintenance of fiscal integrity in the conduct of the affairs of the organization, including provision for accounting and financial controls and regular financial reports or summaries to be made available to members.

b. Notwithstanding the fact that a labor organization has adopted or subscribed to standards of conduct as provided in subparagraph .01a. of this section, the organization is required to furnish evidence of its freedom from corrupt influences or influences opposed to basic democratic principles when there is reasonable cause to believe that:

1. The organization has been suspended or expelled from or is subject to another sanction by a parent labor organization or federation of organizations with which it had been affiliated because it has demonstrated an unwillingness

or inability to comply with governing requirements comparable in purpose to those required by subparagraph .01a. of this section; or

2. The organization is in fact subject to influences that would preclude recognition under Executive Order 11491.

c. A labor organization which has or seeks recognition as a representative of employees under Executive Order 11491 shall file financial and other reports, provide for bonding of officials and employees of the organization, and comply with trusteeship and election standards.

d. The Assistant Secretary of Labor will prescribe the regulations needed to effectuate section 18 of Executive Order 11491 and this paragraph .01. These regulations will conform generally to the principles applied to unions in the private sector. Complaints of violations of section 18 of Executive Order 11491 and this paragraph .01 shall be filed with the Assistant Secretary of Labor; provided, that any complaint by an operating unit of this Department must be approved in advance by the Director of Personnel.

.02 Unfair Labor Practices. (19)

a. Department of Commerce management shall not:

1. Interfere with, restrain, or coerce an employee in the exercise of the rights assured by Executive Order 11491 and this order;
2. Encourage or discourage membership in a labor organization by discrimination in regard to hiring, tenure, promotion, or other conditions of employment;
3. Sponsor, control, or otherwise assist a labor organization, except that an operating unit may furnish customary and routine services and facilities under section 23 of Executive Order 11491 and paragraph 7.03 of this order when consistent with the best interests of the Department, its employees and the organization, and when the services and facilities are furnished, if requested, on an impartial basis to organizations having equivalent status;
4. Discipline or otherwise discriminate against an employee because he has filed a complaint or given testimony under Executive Order 11491 or this order;
5. Refuse to accord appropriate recognition to a labor organization qualified for such recognition; or
6. Refuse to consult, confer, or negotiate with a labor organization as required by Executive Order 11491.

b. A labor organization shall not:

1. Interfere with, restrain, or coerce an employee in the exercise of his rights assured by Executive Order 11491 and this order;
2. Attempt to induce Department of Commerce management to coerce an employee in the exercise of his rights under Executive Order 11491 and this order;

6.02c.

- 13 -

DAO 202-711

3. Coerce, attempt to coerce, or discipline, fine, or take other economic sanction against a member of the organization as punishment or reprisal for the purpose of hindering or impeding his work performance, his productivity, or the discharge of his duties owed as an officer or employee of the United States;
4. Call or engage in a strike, work stoppage, or slowdown; picket an agency in a labor-management dispute; or condone any such activity by failing to take affirmative action to prevent or stop it;
5. Discriminate against an employee with regard to the terms or conditions of membership because of race, color, creed, sex, age, or national origin; or
6. Refuse to consult, confer, or negotiate with the Department as required by Executive Order 11491.

c. A labor organization which is accorded exclusive recognition shall not deny membership to any employee in the appropriate unit except for failure to meet reasonable occupational standards uniformly required for admission, or for failure to tender initiation fees and dues uniformly required as a condition of acquiring and retaining membership. This subparagraph .02c. does not preclude a labor organization from enforcing discipline in accordance with procedures under its constitution or by-laws which conform to the requirements of Executive Order 11491.

d. Issues which can properly be raised under an appeals procedure may not be raised under section 19 of Executive Order 11491 or this paragraph .02. Issues which can be raised under a grievance procedure may, in the discretion of the aggrieved party, be raised under such grievance procedure or the unfair labor practice complaint procedure prescribed by the Assistant Secretary of Labor to implement section 19 of the Executive Order, but not under both procedures. Appeals or grievance decisions shall not be construed as unfair labor practice decisions under Executive Order 11491, nor as precedent for such decisions. All complaints under section 19 of the Executive Order and this paragraph .02 that cannot be resolved by the parties shall be filed with the Assistant Secretary of Labor, provided that no such complaint shall be filed by the Department except with the approval of the Office of Personnel.

#### SECTION 7. MISCELLANEOUS PROVISIONS.

##### .01 Use of Official Time. (20)

- a. Solicitation of membership or dues, and other internal business of a labor organization, shall be conducted during the non-duty hours of the employees concerned.
- b. Employees who represent a recognized labor organization shall not be on official time when negotiating an agreement with Department management, except to the extent that the negotiating parties agree to other arrangements which may provide that the Department will either authorize official time for up to 40 hours or authorize up to one-half the time spent in negotiations during regular working hours, for a reasonable number of employees, which number normally shall not exceed the number of management representatives.

.02 Allotment of Dues. (21)

a. When a labor organization holds exclusive recognition, and an operating unit of the Department and the organization agree in writing to this course of action, the operating unit may deduct the dues of the organization from the pay of members of the organization in the unit of recognition who make a voluntary allotment for that purpose. Such an allotment is subject to the regulations of the Civil Service Commission which will include provisions for the employee to revoke his authorization at stated six-month intervals (see Department Administrative Order 202-552). Such an allotment terminates when:

1. the dues withholding agreement between the Department and the labor organization is terminated or ceases to be applicable to the employee; or
2. the employee has been suspended or expelled from the labor organization.

b. An operating unit of the Department may deduct the dues of an association of management officials or supervisors from the pay of members of the association who make a voluntary allotment for that purpose, when the operating unit and the association agree in writing to this course of action. Such an allotment is subject to the regulations of the Civil Service Commission (see Department Administrative Order 202-552).

.03 Use of Department Facilities. (23)

a. An operating unit may furnish customary and routine services and facilities to a labor organization when, in the judgment of the operating unit, its furnishing of such services and facilities would be consistent with the best interests of the Department, Department employees, and the organization, and when the services and facilities are furnished, if requested, on an impartial basis to organizations having equivalent status.

b. In determining whether the furnishing of customary and routine services and facilities to a labor organization would be consistent with the best interests of the Department, an operating unit shall consider, among other things, whether furnishing of the proposed service or facility:

1. Would be consistent with the purpose of Executive Order 11491 to maintain constructive and cooperative relationships between labor organizations and management officials;

2. Would result in its being utilized solely for purposes related to achievement of the objectives of Executive Order 11491;

3. Would tend to interfere with or impair the proper functioning of any Department activities;

4. Would tend to disturb other employees;

5. Would tend to result in increased costs to the Government;

7.03c.

- 15 -

DAO 202-711

6. Would be consistent with safety, security, and other applicable laws, regulations, and policies (e.g., General Services Administration regulations, Joint Committee on Printing regulations, etc.); and

7. Would be subject to agreement by the labor organization to abide by conditions which the operating unit may deem reasonable to prevent abuse or misuse of the privilege extended and which are specific enough to permit withdrawal of the privilege if a condition should be violated.

c. When management officials of the Department deem it to be consistent with the best interests of the Department, they may grant permission, subject to revocation at any time, for a labor organization to:

1. Hold meetings on Department premises;

2. Use specified bulletin boards of the Department;

3. Place notices of meetings and other notices relating to internal business of the organization in employee bulletins and specified media for internal communication with employees;

4. Conduct other internal labor organization business on Department premises; and

5. Use the inter-office and intra-office messenger and mail system for distribution of labor organization communications on matters relating solely to subject-matter within the purview of Executive Order 11491, provided (a) an agreement is reached in advance with the operating unit concerned as to the kinds and volume of material to be distributed, the times and places of such distribution, and other relevant factors, and (b) each item to be distributed through the system is cleared in advance by a representative of the operating unit concerned as being consistent with the maintenance of constructive and cooperative relationships between the labor organization concerned and management officials.

d. In general, a labor organization shall not be granted free office space on Department premises.

.04 Savings Clauses. (24) Neither Executive Order 11491 nor this order precludes:

a. The renewal or continuation of a lawful agreement between the Department and a representative of its employees entered into before January 17, 1962; or

b. The renewal, continuation, or initial according of recognition for units of management officials or supervisors represented by labor organizations which historically or traditionally represent the management officials or supervisors in private industry and which held exclusive recognition for units of such officials or supervisors in any agency on October 29, 1969.

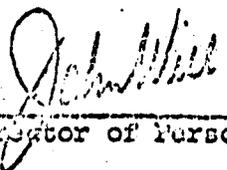
DAO 202-711

- 16 -

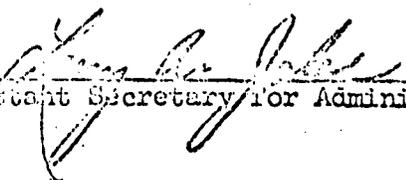
8.

SECTION 8. EFFECT ON OTHER ORDERS.

This order supersedes Department Administrative Order 202-711, dated March 23, 1970.

  
\_\_\_\_\_  
Director of Personnel

Approved:

  
\_\_\_\_\_  
Assistant Secretary for Administration

USCOMM-DC 50191